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Beethoven's five 'cello sonatas

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BEETHOVEN'S FIVE 'CELLO SONATAS

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ABSTRACT

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This thesis is a comprehensive study of Ludwig van Beethoven's five sonatas for Fortepiano and 'Cello. While much has been written about other genres of Beethoven's works, the five 'cello sonatas have received surprisingly little attention and are rarely discussed as a group.

This thesis examines each of the five works individually, and includes a discussion of the following specific information: the circumstances of Beethoven's life at the time of each sonata's composition, the relationship of each work to Beethoven's three stylistic periods, the publication history of each work, first performances and criticisms, hermeneutic interpretations, and structural analyses. The history of the 'cello genre and Beethoven's impact on 'cello music are briefly discussed. A study of this remarkable genre also allows us to track the growth and maturation of Beethoven's musical imagination throughout his career.

ACKNOWLEDGEMENTS

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I am indebted to Elida Aron for her meticulous proofreading, and to all of my close friends for their patience and understanding during this process. A special thanks goes to my lifelong friend, Tom Pickurel, for his invaluable input on the art of writing, his constant moral support, and his unfailing ability to make me laugh when it was most needed.

This research is lovingly dedicated to my parents, Charles and Sarah Crawford for their immeasurable patience and unbounded generosity.

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INTRODUCTION

Given the voluminous amount of research and analysis dedicated to Beethoven's life and creative output, it is somewhat odd that relatively little effort has been directed toward one small and unique group of works, the five sonatas for violoncello and fortepiano. Their composition spans Beethoven's entire career and presents somewhat of a miniature, microcosmic illustration of each of his three creative periods. Beethoven's sonatas for violoncello also represent a major contribution to the literature of the instrument and are perhaps the first violoncello and fortepiano sonatas of true musical importance. The purpose of this research is to provide a thorough and comprehensive reference document useful in the study of Beethoven's 'cello works.

For a better understanding of the importance of Beethoven's sonatas for 'cello and fortepiano, the history of the genre will be briefly reviewed, tracing the genesis of the violoncello and its function in earlier music. Beethoven's 'cello sonatas are considered truly "original" in that he had no models to follow: the first two sonatas, Opus 5, appear to have been the first to be provided with an obbligato keyboard accompaniment. In Beethoven's lifetime the violoncello was emancipated from its previous status of *continuo* instrument providing harmonic support, and became increasingly more melodic, participating in the interplay of the inner voices. Beethoven's role in this emancipation is explored.

While structural analysis and hermeneutic interpretations of music are closely related fields, in this thesis the two are considered

separately. This decision was made purely for the sake of clarity and simplification. The two fields do, however, share certain interpretive methods and a number of accepted analytical systems are employed in both the structural and hermeneutic analyses. One such system, developed by Jan La Rue, applies specific symbols to the various elements of sonata forms. These include the designation of "P" for principal theme, "T" for transitional material, "S" for secondary theme, and "K" for closing material. La Rue's nomenclature simplifies the task of identifying musical sections and is applied to both the structural analyses and hermeneutic interpretations.

The hermeneutic interpretations offered here are indebted to several noted writers on music. Musicologist Deryck Cooke contends that all composers whose music has a tonal basis have used the same, or closely similar, melodic phrases, harmonies, and rhythms to express and evoke the same emotions. Cooke's archetypes of musical phrases can often be helpful in the discovery of meaning in Beethoven's music. Another musicologist, Leonard Ratner, offers a method of interpretation by means of identifying "topics" such as military music, dance, learned style, fantasia, etc., within the musical rhetoric. Ratner's theory of topics is useful in discerning a plausible narrative structure within the music. Kofi Agawu carries the concept of "plot" even further in his semiotic system of interpretation, employing Ratner's topics as signs in Beethoven's musical rhetoric. Theorist George Barth addresses the rhetorical quality of Beethoven's music by examining both the notion of topics and the "speaking style," identifying several instances of "question" and "answer" in certain movements. By adopting the

theories of these various writers, it is possible to arrive at an informed analysis of the meaning of the 'cello sonatas.

CHAPTER ONE

Beethoven and the 'Cello

The 'Cello Before Beethoven

The 'cello is the bass instrument of the violin family. Its origin has been traced back to the early sixteenth century to a member of the family called "viole da braccio." The earliest source (1529) refers to a bass violin with three strings, tuned F - c - g. A fourth string was added later and tuned to B^{b}, thus completing the sequence of fifths taken from the tuning of the violin. This tuning remained in use until the late seventeenth century when the present-day tuning, C - G - d - a, was adopted.[1]

The two earliest preserved specimens of the 'cello were made by Andrea Amati between 1560 and 1570. These first Amati 'cellos were of large dimensions, and during church processions the 'cellos were suspended from the shoulders by a cord or chain attached to a peg inserted in the back of the instrument.[2] While the sizes of the instruments fluctuated considerably during the sixteenth and seventeenth centuries, the modern standard size was fixed by Stradivari around 1710.[3]

The first clear mention of the 'cello in the title of a musical work appeared in 1641 in a work by Giovanni Battista Fontana titled *Sonata a 1. 2. 3. per il violino, o cornetto, fagato, chitarone, violoncino o simile altro*

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[1] Stanley Sadie, ed., *The Norton/Grove Concise Encyclopedia of Music* (New York: W. W. Norton and Co., 1988), 808.

[2] Willi Apel, *Harvard Dictionary of Music* (Cambridge: Harvard University Press, 1944), 804.

[3] Sadie, 808.

Istromento.[4] The first known solo works for the 'cello were composed by Domenico Gabrieli in the mid-1680s and are titled *Sonata a violoncello solo con il B. C.* and *Ricercari per violoncello solo.*[5] During the eighteenth century Leonardo Leo composed six 'cello concertos with string quartet accompaniment (1738), which are presumed to be the earliest 'cello concertos in existence.[6]

The first instructional guide for the 'cello was probably Michel Corrette's method of 1741,[7] but the most important early treatise was written by Jean Louis Duport, for whom Beethoven composed the two Sonatas, Opus 5, in 1796. Duport's treatise was published in 1806, but was begun much earlier, and appeared in the form of an essay entitled *Essai sur le doigter du violoncelle et la conduite de l'archet, avec une suite d'exercises.* Duport's method, which is still in use, presented a logical and practical method for fingering and bowing the instrument, and established an autonomous technique for the instrument for the first time.[8]

While the typical texture of Renaissance music had been a polyphony of independent voices, the texture of the Baroque period was a

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[4] Arthur Broadley, *The Violoncello: Its History, Selection, and Adjustment* (New York: Charles Scribner's Sons, 1921), 4.

[5] William S. Newman, *The Sonata in the Baroque Era* (Chapel Hill: University of North Carolina Press, 1959), 140.

[6] Edward J. Szabo, "The Violoncello-Piano Sonatas of Ludwig van Beethoven" (Ph.D. diss., Columbia University, 1966), 16.

[7] Szabo, 17.

[8] Lewis Lockwood, "Beethoven's Early Works for Violoncello and Pianoforte: Innovation in Context," *The Beethoven Newsletter,* 1, (1986), 18-19.

firm bass and a florid treble, held together by unobtrusive harmony.[9] In the system of notation called *basso continuo*, the composer wrote out the melody and the bass, and the bass was played on one or more *continuo* instruments. Above the notes, the *continuo* player filled in the required chords that were not otherwise written out.[10] The *continuo* principle dominated nearly all musical composition from the early seventeenth century, and was eventually replaced during the second half of the eighteenth century. Until then, the 'cello occupied a very subordinate position; it had functioned primarily as a continuo instrument, providing the harmonic support. Gradually, the *continuo* principle was replaced by *obbligato* accompaniment, a system of notation in which all parts are written out. With the advent of *obbligato* writing, the 'cello became increasingly more melodic by participating in the interplay of motives in the inner voices.[11]

As the 'cello outgrew its Baroque role as a *continuo* instrument, a number of virtuoso players appeared, the most notable being Luigi Boccherini (1743-1805). Boccherini wrote 'cello sonatas and concertos as well as a large number of chamber works involving extremely demanding 'cello parts.[12] Two other prominent composers who added significantly to the 'cello literature are Carl Philipp Emanuel Bach and Joseph Haydn, who

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[9] Donald Jay Grout and Claude V. Palisca, *A History of Western Music* (New York: W. W. Norton and Co., 1988), 352.

[10] Grout-Palisca, 352.

[11] Homer Ulrich and Paul A. Pisk, *A History of Music and Musical Style* (New York: Harcourt, Brace, and World, Inc., 1963), 323.

[12] Sadie, 808.

composed concertos that are demanding both technically and musically.[13] Haydn also employed the 'cello as an *obbligato* in two of his symphonies, the symphony in B^{b} major, Opus 81, and *le Midi,* composed in 1761.[14] Mozart featured the 'cello even more predominantly in his *Prussian Quartets* (Köchel numbers 575, 589, 590), composed for King Friedrich Wilhelm II in 1789.[15]

The practices of Beethoven's predecessors reveal a significant influence on the evolution of his *obbligato* accompaniment sonata style. In Haydn's six *Russian Quartets,* Opus 33 (1781), the melodic exchange of the inner voices is significant, and was a profound influence on Mozart's treatment of the 'cello in his *Prussian Quartets.* [16] Alfred Einstein finds Haydn's *Russian Quartets* to also be of particular significance in the development of Beethoven's *obbligato* style:

> They were composed, as Haydn himself emphasized, "in an entirely new and special manner," . . . of giving all four instruments a share in the musical discourse: thematic development. It is no longer merely in the development section that "working out" takes place; from now on the smallest motive, the faintest hint of a rhythm, is significant, and there is no longer any question of predominance or subordination of any voice in the ensemble . . . . These quartets, in their combination of originality and spirit, are a great achievement of human invention, quite apart from their historical significance. "Learning" is replaced by the principle of obbligato voice-leading, and one ventures to say that were it not for these quartets, such an

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[13] Szabo, 19.

[14] Szabo, 20.

[15] Stanley Sadie, *The New Grove Mozart* (New York: W. W. Norton and Co., 1988), 134.

[16] Alfred Einstein, *Mozart, His Character, His Work,* translated by Arthur Mendel and Nathan Broder, (New York: Oxford University Press, 1945), 180.

> ideal instance of obbligato writing as the first movement of the *Eroica* would not have been possible.[17]

From the middle of the eighteenth century onward, the technique of the 'cello progressed rapidly. The school of Bernhard Romberg (1761-1841) revolutionized 'cello technique and dominated 'cello playing until the end of the eighteenth century when, as Szabo notes, "Beethoven's compositions challenged and transformed the instrument's technique in a manner considered foreign to Romberg's style and unplayable in parts."[18]

Beethoven's Influence on the 'Cello

Beethoven's influence on 'cello technique undoubtedly reflects the many professional and amateur 'cellists with whom he had direct contact over many years. During the Bonn years he was in close contact with 'cellists Gaudenz Heller and J. B. Mäuer, and later with Bernard Romberg, who would become the most celebrated virtuoso of his time. During his life in Vienna, Beethoven was in close touch with the leading professional 'cellists, including Philipp Schindlöcker, Anton Kraft, Nikolaus Kraft, and Joseph Linke. It was probably Kraft and Linke who taught Beethoven the mechanism of the 'cello.[19] In the later Vienna years, several capable amateur 'cellists were close friends and acquaintances of the composer's; these included Franz Brunswick, Johann Dolezalek, Josef Dont, Nikolaus encounter was with the brothers Jean Pierre and Jean Louis Duport in

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[17] Einstein, 180.

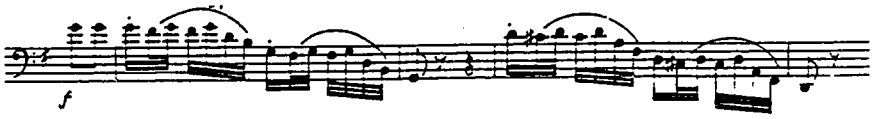
[18] Szabo, 21.

[19] Lewis Lockwood, "Beethoven's Early Works for Violoncello and Contemporary Violoncello Technique,"*Beethoven-Kolloquium* 1977 (Kassel: Bärenreiter, 1978), 174.

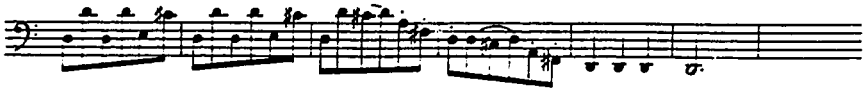
Berlin in 1796. Jean-Louis Duport is known for his treatise on playing the 'cello, *Essai sur le doigté du Violoncello et sur la conduite de l'archet,* published in Paris in 1806, but begun long before.

The importance of Beethoven's contact with the Duport brothers in 1796 is evidenced by certain idiomatic procedures called for in the two sonatas, Opus 5. For example, in the rondo of Opus 5, no. 2, there occurs a pair of descending 'cello ornamented arpeggios, first on G, then on D; in Duport's *Etudes* (which all 'cellists still play), Exercise no. 3 offers the same type of descending ornamental arpeggio, on D (see example 1).

Example 1: Opus 5, no. 2, rondo, mm. 17-20.



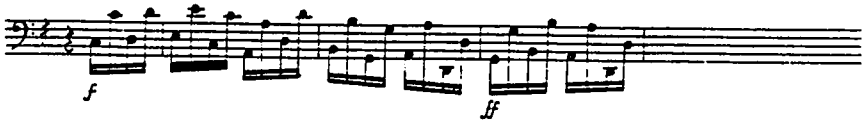
Duport, Exercise no. 3



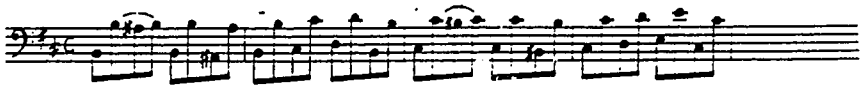
At the end of the rondo, another connection to Duport appears. In this instance, the 'cello pursues a series of alternating sixteenth-note octave

Zmeskall, and Ignaz von Gleichenstein.[20] The most important personal leaps, crossing over three strings. Duport's Etude no. 20 is entirely devoted to this same octave-leap configuration and crossing of strings (see example 2).[21] In the sonata in F major, Opus 5, no.1, there is substantial use of double stops, a technical problem to which the composer returned in later sketches.[22]

Example 2: Opus 5, no. 2, rondo, mm. 297-300.



Duport, Etude no. 20.



There is also a rare arpeggiated triple stop in the *Adagio*, then sixths, octaves, and fifths appear frequently in the allegro and the rondo. Duport's connection with Beethoven's interest in double and triple stops is documented in the so-called Kafka papers.[23] Also, the 'cello part makes

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20 Lockwood, *Beethoven-Kolloquium*, 174.

21 Lockwood, *Beethoven-Kolloquium*, 178-179.

22 Lockwood, *Beethoven-Kolloquium*, 177.

23 Lockwood, *Beethoven-Kolloquium*, 176.

alternating between registers. Just as Beethoven influenced the design of fortepiano construction, as well as the technique of playing, he also increased the demands on 'cellists to such an extent as to require greater artistic execution than previously, in terms of technical and musical expression. Beethoven's contact with the extraordinary Duport brothers seems to have awakened in him a rich wealth of possibilities for the 'cello.

Beethoven's exploration of the sonorous and registral capacities of the two instruments, individually and in myriad combinations, sets his 'cello sonatas apart from works of his predecessors. For instance, the focus of Boccherini's 'cello style was primarily in the higher registers, and Romberg's technique emphasized not robust tone on lower strings but rather finger dexterity in higher positions.[24]

One writer states that "the emancipation of the violoncello begins in earnest with the *Eroica* symphony."[25] Beethoven's unique treatment of the instrument is also evident in the other symphonies, especially the Fifth, Seventh, and Ninth. The expressive qualities of the 'cello are most effective in Beethoven's chamber music for strings. Szabo states:

> He exploited the instrument's color and dynamic range in the various registers and incorporated most of the possible technical devices which always challenge the violoncellist, notably in the quartet Opus 59, no. 1, the late quartets, and the piano trios Opus 70 and Opus 97.[26]

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[24] Lockwood, *Beethoven-Kolloquium*, 180.

[25] Adam Carse, *The History of Orchestration* (New York: E. P. Dutton and Co., 1925), 233.

[26] Szabo, 22.

The two 'Cello Sonatas, Opus 5, are historically important works in that they are the first classical 'cello sonatas with a written-out fortepiano part. In these two sonatas the fortepianist assumes an essential, virtuoso role for the first time in the history of the genre, establishing the combination of 'cello and fortepiano as a true duo. Neither of Beethoven's central artistic models, Haydn and Mozart, had ever attempted to adapt their accompanied sonata styles to this instrumental combination. Even the sonatas published by 'cello virtuoso Anton Kraft in the 1790s are accompanied by continuo. With regards to form, the only well-known classical chamber work that anticipates Opus 5 is Mozart's Violin Sonata in G major, Köchel 379, which Beethoven had used in 1785 as a structural model for one of his own early Fortepiano Quartets, WoO 36, no. 1.[27] In spite of the formal similarities to Mozart's sonata, there is an absence of any clear-cut and relevant tradition of works for this combination which Beethoven could possibly have known or recollected in approaching the composition of the 'cello sonatas.[28]

In the 'Cello Sonata in A major, Opus 69, we find Beethoven again exploring new solutions to problems of range, relative sonority, and registers. The sketches for Opus 69, as well as the numerous and complex revisions in the Autograph, reveal Beethoven's close attention to the establishment of an adequate balance of function between the two instruments.

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[27] Lockwood, *Beethoven Newsletter*, 18-19.

[28] Lewis Lockwood, "The Autograph of the First Movement of Beethoven's Sonata for Violoncello and Pianoforte, Opus 69" in *The Music Forum Volume II*, William J. Mitchell and Felix Salzer, eds. (New York: Columbia University Press, 1970), 33.

The 'Cello Sonatas as a Microcosm of Beethoven's Style Periods

Beethoven's five sonatas for 'cello are also remarkable in that, individually, these works fall neatly into each of his three stylistic periods, and display numerous instances of the style characteristics of each. For example, the two sonatas of 1796, Opus 5, are a product of Beethoven's so-called "Early" period in Vienna, at a time when he was still oblivious to the devastating hearing problem that would soon plague him, and was much in demand as a virtuoso fortepianist. Even though the writing is emancipated and mature in the early works for 'cello, the characteristics of his early period style can be easily discerned. The virtuosity of the fortepiano parts, the tendency of the work to be scaled very broadly, weighty and discursive, and the unconventional modulations in the second theme area are just some of the early-style elements found in Opus 5. This style period will be discussed at greater length in chapter two.

The A major sonata, Opus 69, was composed in 1808, at the height of what is known as Beethoven's "Heroic" middle period, which followed the crisis of 1802, when Beethoven acknowledged the grim inevitability of his deafness in the Heiligenstadt Testament. The heroic and triumphant nature of the work is unmistakable, as are certain other middle period characteristics, such as the long coda, the organicism or thematic unity throughout the work, and the pervasive lyricism.

Written in 1815, the last two sonatas of the five, Opus 102, no. 1 and no. 2, belong to the beginning of Beethoven's late period which, like the middle period, followed yet another major emotional crisis for the composer, the Immortal Beloved affair of 1812. While Beethoven's

musical output was minimal between 1812 and 1815, it is generally accepted that the two sonatas, Opus 102, are some of the first works characterizing the late period style. Certain late period elements, such as the deeper lyricism, intense intimacy and delicacy, the introspective quality of the music, and the retrospective utilization of fugal writing are found in the last two 'cello sonatas, especially the fifth, Opus 102, no. 2, with its highly lyrical and intimate *Adagio* and its fugal finale (the first of nine such late period fugues.)

Thus, a study of all five sonatas not only allows us to trace the development of this new genre in Beethoven's hands, but also to see the general development of Beethoven's style over a twenty year span.

CHAPTER TWO

The 'Cello Sonatas, Opus 5

Beethoven in 1796

The first of Beethoven's five sonatas for fortepiano and 'cello emerged from his early years in Vienna. In November 1792 the twenty-one year old composer arrived from Bonn, filled with ambition and eager to confront the challenges awaiting him in the Imperial city. Up to that time he had achieved significant, albeit mostly local, notoriety in the city of his birth; he arrived at the Austrian capital armed with a glowing introduction from his countryman Count Waldstein, as well as an invitation to study with Haydn. These connections allowed him access to the houses of the hereditary nobility, some of whom had had significant involvement with the careers of Gluck, Haydn, and Mozart. Since several aristocratic visitors to Bonn had returned to Vienna with accounts of having heard a notable young fortepianist in the Rhineland city, Beethoven's reputation had preceded him, and he was soon welcomed into the palaces and salons of aristocratic connoisseurs, amateurs and music lovers.

Vienna was a city of fortepianists; it has been suggested that in the 1790s there may have been as many as six thousand fortepiano students in Vienna, and more than three hundred accomplished fortepianists, most of whom were engaged in teaching the children of the wealthy.[1] In spite of the abundance of fortepianists in Vienna, Beethoven's arrival came at a propitious moment for the young virtuoso, since the previously

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[1] Maynard Solomon, *Beethoven* (New York: Schirmer Books, 1977), 58.

reigning luminaries, Clementi and Cramer, had relocated to London, and Mozart had died twelve months earlier, leaving behind little competition for the ambitious young Beethoven. Beethoven's brilliant fortepiano style and improvisational skills quickly drew the attention of the international aristocracy of Vienna, whose patronage would prove to sustain him all his life. Among his early patrons were such names as Prince Lichnowsky, Prince Lobkowitz, Count Apponyi, Count Browne, Countess Thun, Countess Keglevics, and Baron von Swieten.

Beethoven's fame as a virtuoso performer spread rapidly and soon he was known beyond the confines of the aristocratic salons. Through his acquaintance with Salieri, he was introduced in the Easter Benefit Concerts of March 29, 1795, where he performed the premiere of his B^{b} Fortepiano Concerto (later published as Opus 19), and thereafter appeared frequently as a performer and a composer in these twice-yearly events.[2] In a testimony to the young artist's prowess, Beethoven's friend Wegeler reported that "Beethoven wrote the Rondo of this concerto only two days before the performance, while feeling unwell, and at the rehearsal next day Beethoven had to play his part in $C^{\#}$ major as the fortepiano was a semitone flat!"[3] The day after the Easter Concert, he appeared at a concert arranged by Mozart's widow, performing Mozart's Fortepiano Concerto in D minor, for which Beethoven wrote the cadenzas.[4]

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[2] Joseph Kerman, *The Beethoven Quartets* (New York: W. W. Norton & Co., 1979), 5.

[3] Barry Cooper, gen. ed., *The Beethoven Compendium* (London: Thames & Hudson 1991), 14.

[4] Elliot Forbes, ed., *Thayer's Life of Beethoven* (Princeton, New Jersey: Princeton University Press, 1973), 174-175.

The successes and fame of 1795 motivated Beethoven to seek an even broader audience, and in February 1796 he set off on an extended tour of several European capitals, a trip promoted by Prince Lichowsky, who had traveled with Mozart on a similar tour just seven years before. From his first stop in Prague, on February 19, Beethoven wrote to his brother Johann,

> First of all, I am well, very well. My art is winning for me friends and renown, and what more do I want. And this time I shall make a good deal of money. I shall remain here for a few weeks longer, and then travel to *Dresden, Leipzig and Berlin.* So it will certainly be six weeks at least before I return.[5]

Another document, discovered recently, is a concert ticket (in French) which reads: "Ticket for the concert of Louis van Beethoven in the Convict-Salle, Friday, March 11." Robert Winter and Bruce Carr point out that, although the year is not given, March 11 was a Friday in 1796, and Beethoven cannot be placed in Prague in any other year in which this date and day coincide.[6]

Beethoven's visit to Prague is also mentioned in two letters from music dilettante Chamberlain von Schall to the Elector Maximilian Franz. In the first letter, dated April 24, 1796, von Schall mentions that "The young Beethoven arrived here yesterday; . . . he will play for the court and then go from here to Leipzig-Berlin. He is said to have improved immensely and to compose well." In the second, dated May 6, "Beethoven has delayed here almost eight days, everyone who heard him play was enchanted."[7] Von

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[5] Emily Anderson, trans. and ed., *The Letters of Beethoven,* 3 vol. (London: MacMillan, 1961), 1: 22 (Letter no. 16), Hereafter: Anderson, Letter no. 0.

[6] Robert Winter and Bruce Carr, eds., *Beethoven, Performers, and Critics* (Detroit: Wayne State University Press, 1980), 25.

[7] Thayer-Forbes, 184.

Schall also mentions that the Elector of Saxony was "exceedingly well satisfied and presented him with a golden *tabitiére* [snuff box]. Beethoven went from here to Leipzig and Berlin."[8] There is no record of his activities in Leipzig, although a letter written by Beethoven in 1808 mentions his acquaintance with the Leipzig musician, August Eberhard Müller, whom he probably met en route to Berlin in 1796.[9]

In Berlin Beethoven performed at the Prussian court for Friedrich Wilhelm II, an amateur 'cellist who had commissioned Mozart's three *Prussian* quartets, Köchel 575, 589, and 590, just six years earlier.[10] Friedrich Wilhelm's court orchestra included the two major French 'cellists of the time, brothers Jean-Pierre (1741-1818) and Jean-Louis Duport (1749-1819). Beethoven's pupil Ferdinand Ries reported that the two sonatas, Opus 5, were performed with great success by Beethoven and "Duport, first 'cellist of the royal orchestra."[11] Beethoven's association with Duport will later be covered in depth.

Friedrich Wilhelm was greatly impressed by Beethoven's performance and presented him with a gold snuff-box filled with *Louis d'ors*, a gift which delighted Beethoven. In later years he was fond of talking about his sojourn in Berlin and declared with pride that it was "not an ordinary snuff-box, but such a one as it might have been customary to give to an ambassador."[12] It is

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[8] Thayer-Forbes, 184.

[9] Thayer-Forbes, 184.

[10] Kerman, 6.

[11] Joseph Kerman and Alan Tyson, *The New Grove Beethoven* (New York: W. W. Norton & Co. 1988), 18.

[12] Thayer-Forbes, 184-85.

believed that the King was so impressed by Beethoven that he may have suggested that the composer relocate to Berlin to fill the recently vacated position of Kapellmeister of the Prussian court.[13] Whether or not Beethoven seriously considered the position is irrelevant as the King's death the following year abrogated the possibility.

While in Berlin, Beethoven had the opportunity to attend at least two meetings of the Singakademie, which then numbered about ninety voices. On the first occasion a chorale by Carl Friedrich Christian Fasch was sung, following which Beethoven seated himself at the fortepiano and played an improvisation on the theme of the final fugue.[14] In a story related by Bettina Brentano, Beethoven reported that at the close of this impromptu performance his listeners did not applaud but came crowding around him weeping, causing Beethoven to admonish "that is not what we artists wish--we want applause!"[15] While Bettina's veracity comes frequently under scrutiny, Beethoven's confidence and ebullience regarding his virtuosity during this period is easily documented; for example, in mid-1794 Beethoven wrote to his childhood friend Eleonore von Breuning of his "desire to embarrass" and "revenge myself on" the "Viennese pianists, some of whom are my sworn enemies."[16]

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[13] Thayer-Forbes,185.

[14] Thayer-Forbes, 187.

[15] Thayer-Forbes, 187.

[16] Anderson, Letter no. 9.

Early in July the royal court departed Berlin for their rural summer retreats, and Beethoven returned to Vienna. Nothing further is recorded of his 1796 activities until November, when he traveled to Pressburg and Pesth. A concert arranged for November 23 is mentioned in a letter to fortepiano maker Andreas Streicher, written by Beethoven from Pressburg and dated November 19, 1796.[17] The Fischhof manuscript mentions a "dangerous illness" in the summer of 1796 that "settled in his organs of hearing, and from this time on his deafness steadily increased."[18] In Thayer's Beethoven biography, editor Elliot Forbes questions the validity of the date: "A sickness of the gravity here described seems somewhat improbable in this year in view of the further travels which Beethoven made the following autumn."[19]

Little is reported on Beethoven's activities during most of 1797. At the end of May he wrote to his friend Wegeler that he was "doing well and steadily better."[20] On October 1 he inscribed a warm message in the album of his childhood friend, Lorenz von Breuning, who was leaving Vienna to return to Bonn.[21] From May to October, information is scant; it is possible that the dangerous illness mentioned in the Fischhof manuscript may actually have occurred during this summer.[22]

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17 Thayer-Forbes, 188.

18 Thayer-Forbes, 187-188.

19 Thayer-Forbes, 187-188.

20 Thayer-Forbes, 187-188.

21 Kerman-Tyson, 22.

22 Thayer-Forbes, 191.

Aside from a visit to Prague sometime in 1798, when he gave two public concerts and a private recital, the trip to Berlin would prove to be the only such undertaking in Beethoven's entire lifetime. Although invitations were occasionally extended from foreign lands, the Berlin excursion of 1796 remains Beethoven's sole occasion for international travel. According to Ferdinand Ries, "Beethoven hardly traveled at all. In his younger years, near the end of the century, he was once in Pressburg and Pesth and once in Berlin."[23]

Beethoven's tone of self-satisfaction and optimism in the letter to his brother Johann, written from Prague in 1796, contrasts poignantly with the mood of a letter written barely five years later to his Bonn friend, Wegeler, in June 1801. In this famous letter Beethoven declares, "Already I have often cursed my Creator and my existence . . . . I will bid defiance to my fate, though I feel that as long as I live there will be moments when I shall be God's most unhappy creature," as he reveals for the first time that his hearing has been deteriorating "for the last three years."[24] When extended back in time, those "three years" place the onset of Beethoven's hearing difficulties at about mid-1798, a date which lends some credibility to the reports of a "dangerous illness which settled in his organs of hearing" [25] in the summer of 1797.

The two sonatas, Opus 5, offer a clear glimpse of the virtuosity, passion, and imagination of the youthful, optimistic Beethoven, eager to confront the

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[23] Thayer-Forbes, 188.

[24] Anderson, Letter no. 51.

[25] Cooper, 137.

challenges of the musical world, and still innocently unaware of the grim disability in store for him.

Beethoven's Early Style

In their efforts to codify the various stages of Beethoven's creative evolution, it is not unusual for writers to label his first period as "imitative" and to portray his early works more as front-runners of later greatness than as significant entities in their own right. This mistake can produce critiques of the early works based on what they are *not* (heroic, transcendental), rather than what they *are* (revolutionary, unique). While the elements of Beethoven's early style can be clearly traced to the input of classicism as perfected by Haydn and Mozart, the dictates of that style found new expansion and elaboration in Beethoven's early years. Charles Rosen's keen observation on Beethoven's style can easily be applied to the early period: "Beethoven's music is filled with memories and predictions."[26] The memories to which Rosen refers are, of course, Beethoven's adherence to the forms and formulae of the classic period, sonata and rondo, concerto and variation being forms inherited from the classic tradition. Rosen's "predictions" are Beethoven's manipulation of these forms, and his extension into seemingly new territories of sophistication. In Rosen's words, "Beethoven transformed the musical tradition he was born into, but he never challenged its validity."[27]

Within the structures of the classic style, Beethoven absorbed and altered techniques such as Haydn's economy of themes and motives, but

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[26] Charles Rosen, *The Classical Style: Haydn, Mozart, and Beethoven* (New York: W. W. Norton & Company, 1972), 381.

[27] Rosen, 380.

rarely applied Haydn's so-called device of "monothematicism." At the same time, Beethoven generally followed Mozart's dualism by introducing a new key with something sounding like a new theme.[28] Barry Cooper observes:

> In the external planning of his music he seems initially to have followed Mozart in the exposition of themes, and in recapitulating them; insofar as his development sections are freer, i.e. less predictable from one piece to the next, they bear a closer relationship to Haydn's compositional technique.[29]

Where Beethoven does venture into new realms is in his frequent evasion of strict tonic-dominant relations within a single movement. Throughout his career, Beethoven sought substitutes for the dominant in the classical tonic-dominant relation. This expansion of the large-scale harmonic range, however, took place within the limits of the classical language where the supremacy of the tonic triad always reigned.[30] In the words of Charles Rosen, "Beethoven extended classical harmonic language without violating its spirit."[31]

Another characteristic of the early period style is the tendency of the works to be scaled very broadly, weighty and discursive. For many years Beethoven structured his sonatas in four movements, rather than the usual three movement form which was the rule with Haydn and Mozart. Beethoven's Opus 1 and Opus 2 present examples of what Kerman calls the "rather ponderous slow movements characteristic of the first Vienna period,

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[28] Cooper, 201.

[29] Cooper, 201.

[30] Rosen, 383.

[31] Rosen, 400.

and also of that famous innovation, the scherzo."[32] Kerman also notes early evidence of Beethoven's well-known insistence on making transitional and cadential matter sound highly individual.

During his first stylistic period Beethoven achieved great notoriety as a fortepianist and improviser, and the early works for fortepiano offer glimpses into his improvisational imagination and pianistic skill. Rosen suggests that Beethoven was "perhaps the first composer in history to write deliberately difficult music for a great part of his life."[33] His virtuosity, however, was always used in the service of a musical idea, never for its own sake.[34]

We know that in Beethoven's youth he had studied the treatises of Johann Mattheson, Johann Philipp Kirnberger, and Emanuel Bach, among others. In these studies, Beethoven surely encountered the terminology of classical oratory to describe music as a gestural art, and the concept of musical declamation, the "speaking style," so prevalent in treatises of the eighteenth century.[35] George Barth notes that "Beethoven found [Emanuel] Bach's mode of expression natural to him, being temperamentally suited to soliloquy and the other dramatic stances of the orator," but Beethoven "joined the ranks of the pianistic orators with something of a foreign tongue."[36] The declamatory style, as inherited by Beethoven, had previously encompassed syllabic nonlegato as the norm, and bar lines were relatively inviolable. In

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[32] Kerman-Tyson, 95-96.

[33] Rosen, 385.

[34] Kerman-Tyson., 97.

[35] George Barth, *The Pianist as Orator* (Ithaca: Cornell University Press, 1992), 7.

[36] Barth, 40.

Beethoven's hands the "speaking style" was transformed by his unique style of legato playing and inflections, as well as the breadth of articulation in phrases, breaking with the norm which previously had called for short slur groups within the measure. The sonatas, Opus 5, provide early examples of Beethoven's life-long transformation of declamatory style.

Performance, Sketches, and Publication of Opus 5

Friedrich Wilhelm exerted a powerful and enduring influence for good upon the musical taste of Berlin, and his court has been described as "a mecca for 'cellists."[37] It was in the extremely musical environment of this court that Beethoven composed the two Sonatas for Fortepiano and 'Cello, Opus 5, as well as a set of twelve variations for 'Cello and Fortepiano on a theme from Handel's *Judas Maccabaeus* (later published as WoO 45). Since the King was an avid 'cellist, the choice of theme for the variations, "See the conqu'ring hero comes," may have, as Kerman points out, reflected a "courteous nod towards the throne."[38]

For many years it was believed that the first 'cellist of the Prussian court was Jean-Pierre Duport, the elder of the two brothers, but Lewis Lockwood points out that it was in fact the more gifted Jean-Louis who held that position and performed the sonatas with Beethoven.[39] The younger Duport, Jean-Louie, was not simply an acclaimed performer, but was also an

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[37] Lewis Lockwood, "Beethoven's Early Works for Violoncello and Pianoforte: Innovation in Context," *The Beethoven Newsletter*, 1 , (1986), 18.

[38] Kerman-Tyson, 21-22.

[39] Lewis Lockwood, "Beethoven's Early Works for Violoncello and Contemporary Violoncello Technique," in *Beethoven-Kolloquium 1977* (Kassel: Bärenreiter, 1978), 176.

important figure in the development of 'cello technique. Just as C.P.E. Bach and Leopold Mozart had contributed to the pedagogy of their respective instruments, fortepiano and violin, Jean-Louis Duport similarly exerted an influence over his instrument with his treatise on playing the 'cello, *Essai sur le doigté du Violoncello et sur la conduite de l'archet,* published in Paris in 1806, but begun long before. Duport's treatise is regarded as the first modern handbook of 'cello fingering and bowing and is still in use. Lockwood suggests that certain affinities between 'cello figurations in Opus 5 and in some of the *Etudes* of Duport's treatise indicate something of what Beethoven must have learned from Duport in Berlin. Another indication of Duport's influence on Beethoven is a set of 'cello fingerings for scales and double stops which were written (possibly by Duport) on a leaf of Beethoven's sketch paper. Elsewhere in the same pages Beethoven wrote a reminder to himself to "write a message to Duport."[40]

Another performance of Opus 5 occurred near the end of 1796 when Beethoven's old companions from the Bonn orchestra, the Romberg brothers, passed through Vienna on their way home. Bernhard Romberg, an accomplished 'cellist who enjoyed a certain amount of notoriety among the Viennese aristocracy, performed with Beethoven in a concert.[41] While little is recorded regarding this concert and the date is unknown, it is generally assumed that the two 'cello sonatas were performed.

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[40] Lockwood, *Beethoven-Kolloquium,* 176.

[41] Thayer-Forbes, 196.

The first 'cello sonatas also figure in an anecdote concerning yet another notable string virtuoso, Domenico Dragonetti, whose acquaintance Beethoven made in the spring of 1799. According to Thayer, "Dragonetti, the greatest contrabassist known to history,"[42] visited Vienna for several weeks and astonished Beethoven by playing the Sonata in G minor, Opus 5, no. 2, on the bass, thereby revealing the instrument's unsuspected potential. Antony Hopkins reasons that, "From that day on Beethoven ceased to regard the double-bass as an instrument to be coddled with simplifications of the 'cello part."[43] It is reported that twenty-five years later, while playing the instrumental recitatives in the London premiere of the Ninth Symphony, Dragonetti complained that if he had seen the part beforehand he would have doubled his fee.[44] Thayer suggests that, "The unlucky contrabassists of orchestras had frequent occasion during the next few years to know that this new revelation of the powers and possibilities of their instrument to Beethoven was not forgotten."[45]

Recent studies of the music papers used by Beethoven have revealed that the sketches of both sonatas, Opus 5, were made on paper acquired in Berlin, indicating that Beethoven must have worked on both sonatas in May and June of 1796.[46] The sketches also reveal that another work, the F major

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[42] Thayer-Forbes, 208.

[43] Antony Hopkins, *The Nine Symphonies of Beethoven* (Seattle: University of Washington Press, 1981), 121.

[44] Denis Matthews, *Beethoven* (New York: Vintage Books, 1988), 24.

[45] Thayer-Forbes, 208.

[46] Winter-Carr, 28.

Variations on Mozart's *Ein Mädchen oder Weibchen* (later published as Opus 66 in F major) was also written in Berlin.[47] The two sonatas, Opus 5, were published by the Viennese publishing house Artaria, bearing a dedication to King Friedrich Wilhelm II of Prussia, and were advertised for sale in the *Wiener Zeitung* in February and April 1797.[48]

Hermeneutic Interpretations of Opus 5

Opus 5, no. 1

Dutch 'cellist Pieter Wispelwey says of Opus 5, no. 1:

> The spirit of comedy prevails in the first sonata. The brilliant texts set the characters off against each other. Lyricism, gestures, masquerades and humour: all play their respective roles against an undercurrent--which runs through all high-quality comedy--of seriousness and drama.[49]

Wispelwey's insightful recognition of "characters" interacting within a comedy/drama points out the rhetorical and conversational nature of the sonata in F major, qualities which certainly stem from Beethoven's proficiency in the classic declamatory style, as mentioned above. Certain elements of Beethoven's transformation of the "speaking style" can be found in Opus 5.

George Barth offers an extremely pertinent example, found in Opus 5, no. 1, of Beethoven's unique manner of phrase articulation, which Barth

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[47] Lockwood, *Beethoven Newsletter*, 19.

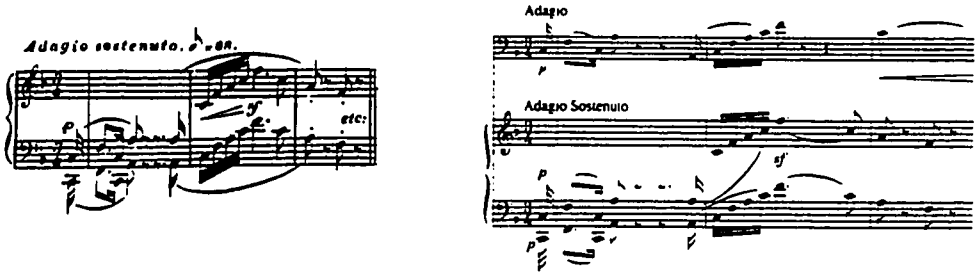
[48] Thayer, 196.

[49] Pieter Wispelwey, 'cellist, *Beethoven: The Complete Sonatas for Pianoforte and Cello.* (Channel Classics CC53592, 1992), 4.

compares to Czerny's altered version of the same passage. Barth points out that, "Although he [Czerny] was much more restrained in altering slurs and dynamics in his editions of the sonatas, his revisions there also often reveal the gulf between his language and his teacher's."[50] Barth compares the first two measures of the sonata in F major to illustrate that Czerny's conception of slurring is far less articulate than Beethoven's and demonstrates Czerny's lack of concern for declamation (see example 1).[51]

Example 1: Opus 5, no. 1/I, mm. 1-2

Czerny: *Über den richtigen Vortrag* First edition, Vienna: Artaria



These examples are pertinent to Barth's assertion that the opening measures of the *Adagio* are based on a musical "question and answer" which require Beethoven's far more detailed slurring to achieve precisely the nuances that the declamation demands. It is Barth's belief that "Czerny appears unmindful of the fact that the *Adagio sostenuto,* like the last movement of the *Archduke* Trio and the introduction of the E♭ Sonata, Op. 31, no. 3, is based on a musical question."[52] Barth suggests a method of revealing the declamation in the *Adagio* by identifying two principal figures, the first a "question" and the

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50 Barth, 87.

51 Barth, 100.

52 Barth, 100-101.

second an "answer."[53] Barth notes that Beethoven's drama of "question and answer" predominates everywhere:

> The question is at work on many levels, some completely explicit (like the first two questions), some on the order of details (like the tiny diminutions of the rising figure in bar 19), and some more subterranean (like the bass tones marked by sforzati in bar 17, or the jagged rhythms in the bass in bars 20-21).[54]

The rhetorical quality of the introduction can also be examined from the vantage point of musical "topics." Following the initial two statements of the question and answer, the 'cello proceeds with a cantilena melody (measures 7-10) which could be classified as "singing style." The cantilena melody is taken over by the fortepiano and is embellished with a chromatic and florid chord pattern. The interjection of "singing style" supplies an element of operatic drama which contributes to the atmosphere of "dialogue" between the two instruments. The drama merges with a syncopated, imitative passage, suggesting "learned style," which is followed by three measures of "brilliant style" figurations in the fortepiano. Since the "singing style" has set up a scene of dramatic rhetoric, the juxtaposition of the ensuing "learned style" and "brilliant style" passages perhaps suggests the interjection of intellect and virtuosity into the "conversation."

Semiotician Kofi Agawu states:

> The rationale for hearing a topical discourse in Classic music rests partly on the observation that topics were part of a musical vernacular

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53 Barth, 133.

54 Barth, 140.

> current in the eighteenth century, which formed the listening environment of composers and listeners alike.[55]

Agawu contends that the combination of topical sequences sometimes enables the analyst to construct a plot for the work or movement. Following Agawu's theory, the sequence of topics in the *Adagio sostenuto* may represent a prologue for what will prove to be an intelligent and lively discussion between the "characters" in the conversation that is about to begin.

The confidence and animation of the Allegro's principal theme is barely established when the entrance of the secondary theme interjects an unexpected air of ambiguity and insecurity. A startling shift in mode to the area of C minor, and then to D minor, introduces what Bathia Churgin calls the "dark side of expression."[56] The atmosphere of uncertainty is enhanced by the fact that the numerous S themes bear more resemblance to a collection of transitional material than to actual themes. The effect created by this section is both striking and highly individual.

Wispelwey's assessment of "masquerades and humor" might possibly be characterized by an unusual passage preceding the recapitulation. In this passage (measures 194-204) the fortepiano offers a series of "brilliant style" figurations, alternating with a somewhat absurd chromatic gesture in the 'cello, at its lowest register. The delicacy of the fortepiano pattern in contrast to the insolence of the 'cello presents an atmosphere of absurdity which is

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[55] V. Kofi Agawu, *Playing With Signs: A Semiotic Interpretation of Classic Music* (Princeton, New Jersey: Princeton University Press, 1991), 33.

[56] Bathia Churgin, "Harmonic and Tonal Instability in the Second Key Area of Classic Sonata Form," in *Festschrift Series No. 10, Essays in Honor of Leonard G. Ratner*, ed. by Wye J. Allanbrook, Janet M. Levy, and William P. Mahrt, (Stuyvesant, NY: Pendragon Press, 1992), 37.

suddenly transformed when the tonality shifts upwards a half step to the D^b which had been introduced in the 'cello's "absurd" gesture. What follows is a fifteen-measure modulatory passage in preparation for the recapitulation. The dramatic hovering of this passage is intensified by three measures marked *callendo* (gradually diminishing) prior to the brilliant *ffp* return of the principal theme.

The drama of the first movement is heightened in the written-out cadenza, containing florid "brilliant style" passages and long trills in both instruments before the closing unison statement.

The Rondo finale of Opus 5, no. 1, presents a character of "dance music," full of folk flavor and "German dance" rhythmic activity. The musical genre of "dance" is one that can be traced throughout Beethoven's career, from the early Minuets and German Dances of 1795 (WoO 7 and 8) written for use at Vienna's Redoutensaal, to the Six Ländler for two violins and fortepiano (WoO 15) written in 1802, and even to the latter part of his life with the Eleven Dances or *Mödlinger Tänze*, of 1819 (WoO 17).[57] In 1796, the very year that Opus 5 was composed, Beethoven also wrote a set of six German Dances for violin and fortepiano, later published as WoO 42.

Although Beethoven's treatment of the topic of "dance" in the rondo of Opus 5 is far more sophisticated than in the collections of dances for public use, many of the rhythmic and textural elements are comparable. For

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[57] While many of the dances written by Beethoven were destined for rather trivial public use as dance music, the musical topic of "dance" pervades many of his more serious works as well, such as the rustic *Lustiges Zusammensein der Landleute* third movement of the Sixth Symphony (1806), as well as the Seventh Symphony of 1812 (referred to by Wagner as "The Apotheosis of the Dance,") and even into the late Fortepiano Sonatas and String Quartets, to name just a few examples.

example, the droning, sustained double-stops in the low register of the 'cello in section C closely resemble the peasant-like drone bass in the Ländler trio of Dance no. 6 of the WoO 8 collection. Also, the *sforzati and* offbeat accents in the rondo are not only reminiscent of Dance no. 6, but also foreshadow the scherzo of the late String Quartet, Opus. 132.[58] The sophistication of the rondo lies in the elegant and impetuous modulations, the fascinating contrapuntal play between the instruments, and the rapid and brilliant fortepiano figurations that rival his most ambitious early fortepiano sonatas.[59]

The interval of the major third is significant to the prevailing mood of the rondo. As suggested by Deryck Cooke, the major third is traditionally recognised as an expression of pleasure or happiness,[60] and when this cheerful melodic structure is coupled with the musical topic of "dance," the rustic, Ländler character of the rondo is unmistakable.

Opus 5, no. 2

The broad *Adagio* Introduction to the sonata in G minor exemplifies Beethoven's concern with bringing out the singing quality of the 'cello's tenor voice by means of broad, slow phrases, giving the expressiveness of the instrument more importance than the element of virtuosity. The pathetic

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58 Eugenio Albini, "Sonata No. 3 in A for Violoncello and Piano, Opus 69," translated by Thomas K. Scherman, *The Beethoven Companion,* edited by Thomas K. Scherman and Louis Biancolli, (Garden City, New York: Doubleday & Company, 1972), 135.

59 Lockwood, *Beethoven Newsletter,* 20.

60 Deryck Cooke, *The Language of Music* (Oxford: Oxford University Press, 1991), 55.

quality of the introduction is achieved through use of a descending minor scale, personifying Cooke's archetype of expressing "painful emotion; acceptance of or yielding to grief; passive suffering."[61] The tragic nature of the *Adagio* is also noted by Czerny when he suggests that the *Adagio* be performed "with gloomy, tragic expression."[62] The dotted rhythm of the descending scale contributes to the tenuous nature of the melody.

With the entrance of the *Allegro,* the pathetic quality of the minor mode is somewhat lightened by the appearance of B natural in the principal (P) theme. While the tonality still remains in G minor, the opening gesture leads swiftly away from to tonic to the dominant, D, before cadencing on G minor in the fourth measure. The principal theme could be compared with Cooke's archetype of an ascending major scale implying exuberance and joy, although after the scale passes through the fifth, to the sixth, the return descent re-introduces the minor mode with the B^b tone, thereby shifting to Cooke's "yielding to grief, and passive suffering."[63] The question of major or minor pervades the movement and may suggest an interpretation of indecision and vacillation. Wispelwey's observations on this movement offer some credibility:

> The Allegro opens with a somewhat mysterious, hermetic dialogue which makes way for forte-passages, abound with flashing or cheering sforzati; turbulence which at times portrays rough weather, at times

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[61] Cooke, 133.

[62] Carl Czerny, *On the Proper Performance of All Beethoven's Works for the Piano* (London, 1846; facsimile, ed. Paul Badura-Skoda, Vienna: Universal, 1970), 86.

[63] Cooke, 133.

> triumph, and which alternates with the most innocent, sunny dolce phrases.[64]

The moment of triumph is finally achieved at the close of the movement, when the G major tonality succeeds in its struggle to overcome the minor mode.

The rondo finale of Opus 5, no. 2 continues the tonality of G major, presenting immediately what Albini refers to as a "laughing theme, in great contrast to the preceding movement."[65] While the tonality of the finale is G major, the opening strongly stresses the subdominant, a key area which will prove to be important in section C of the rondo.

Of this movement, Wispelwey suggests:

> The rondo is good-tempered, but here too the contrasts are considerable: sophistication and generous lyricism at one end of the spectrum, and exuberant slapstick at the other.[66]

The sense of confident exuberance is consistent throughout the movement, and pervades both the lyrical passages and the moments of "slapstick," as demonstrated by the extremely rapid 'cello passages in section C. Throughout his career Beethoven seems to have been quite fond of challenging the performing 'cellists with passages that were cumbersome, nearly to the point of absurdity, as evidenced by his treatment of certain 'cello passages in the Ninth Symphony.

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64 Wispelwey, 4.

65 Albini, 194.

66 Wispelwey, 4.

In summary, the two sonatas, Opus 5, offer a brilliant depiction of the young and confident Beethoven, energetically displaying his mastery of the inherited traditions and infusing them with the humor of his intellect and the fire of his imagination.

Structural Analysis of Opus 5

Opus 5, no. 1

The structural plan of Op. 5 no. 1 consists of two *Allegro* movements, the first prefaced by an introductory *Adagio*. The introduction presents thematic elements which are expanded and developed in the extensive *Allegro*. This two movement design marks a distinct change from the usual four movement sonata pattern employed by Beethoven during this period.

Certain elements of this movement are of particular interest. First, the keyboard part contains a wide sampling of the figuration patterns which filled Beethoven's sketchbooks of this period, and provide an example of the rapid and brilliant passages that display his exuberance as a virtuoso. Also, in his innovative treatment of the 'cello we find abrupt shifts from one registral area to another, and rapidly alternating diverse patterns.

The *Adagio* introduction initiates a variety of patterns of relationship between the 'cello and the fortepiano, with the roles of the two instruments shifting as the movement unfolds. As pointed out by Lockwood, the 'cello functions in the introduction and throughout the sonata in at least three different ways: 1) as bass underpinning of the keyboard's middle- and upper-range sonorities; 2) as mid-range voice with keyboard sonorities clustered

both above and below it; 3) as principal melody-bearing voice, at any register but often as top voice over keyboard support.[67] In this way, Beethoven ingeniously explores the sonorous capacities of the two instruments, both individually and in combinations.

First Movement
Form: Sonata-Allegro
Introduction: measures 1-34
Exposition: measures 35-160
Development: measures 161-220
Recapitulation: measures 221-341
Coda: measures 342-400

Introduction: F major, *Adagio*

Measures 1-6. The opening theme will prove to provide material for the entire movement. It is stated *piano* and in unison by both instruments, first with an intervallic figure spelling out the F major triad, and followed by an arpeggiated figure rising one octave, and then descending slowly to the tonic in the fortepiano, with the 'cello hesitating slightly. A sequential repetition of the theme is prepared by the 'cello with the $F^{\#}$ in measure 3, and after repeating the gesture, the 'cello again hesitates and falters before completing its descent of the arpeggio, and "refuses to budge from its B^{b},"[68] before entering into a cantilena melody at measure 7 (see example 2).

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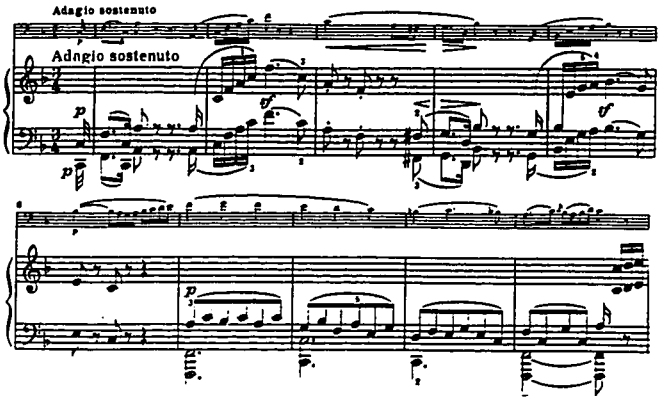
[67] Lockwood, *Beethoven Newsletter*, 20.

[68] Barth, 138.

Example 2: Opus 5, no. 1/I, mm. 1-10



Measures 7-18. For four measures the 'cello's cantilena melody proceeds smoothly in the tonic, but is repeated and varied unexpectedly in minor by the fortepiano, made harmonically more interesting by the use of first inversion chords and melodically by octave skips in the 'cello. In measures 17-18, the thematic material is developed and intensified with accented chords and the thirty-second note embellishments. The rhythmic activity in the bass is intensified by the sforzati being first applied on the beat in measure 17, but shifting an eighth note later in measure 18, to match the accents of the 'cello.

Measures 19-34. With a decrescendo leading to *pianissimo*, the fortepiano gently and chromatically descends with a series of sequential patterns, modulating towards the dominant, but hesitating momentarily on the Neapolitan-sixth, $D^{\flat}$ in measure 21, before landing firmly on C at measure 22, via an intervening leading-tone chord. With a rhythmic motive similar to the opening gesture (measure 1), a rising bass line provides the impetus for the cadence on the dominant. Following the cadence, the 'cello embarks

upon a mincing staccato descent and the fortepiano responds with a chromatic variation of measure 2, in major thirds. The 'cello's next descent is countered again by the fortepiano, now in a chromatic variation of measure 5. This exchange leads into a passage of diminution, imitation, and stretto between the two voices, culminating in an explosive *fortissimo* passage beginning in measure 27.

A three-measure peroration by the fortepiano on the dominant ninth follows the violent outburst of measure 27 and consists of arpeggio figurations over a sustained dominant pedal. The last five measures set up a dominant preparation, and return to the atmosphere of the earlier cantilena melody, occasionally hinting at melodic gestures from measures 1-4.

Exposition: F major, *Allegro*

Measures 35-57: Principal Theme. Derived from the first measure of the *Adagio*, the principal theme (P) is given first in the fortepiano and accompanied by a driving eighth-note pattern in the 'cello and bass of the fortepiano. An unexpected but brief tonal diversion occurs at measures 40-41, when the fortepiano moves momentarily into the relative minor, D minor (see example 3). This momentary diversion to D minor does not occur again in subsequent restatements of the theme and may perhaps forecast the tonal aberrations which appear in the secondary theme section.[69]

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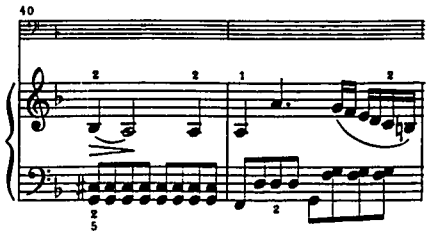
[69] Another example of an early and unexpected shift in harmonic motion can be found in a later work, the Third Symphony, Opus 55. In the first movement, the lyric melody begins in measure 3, but is interrupted at measure 7 with an unexpected drop to the note $C^{\#}$, creating a momentary rupture in the flow of the melody. In the Third Symphony the $C^{\#}$ is later reinterpreted as a D^{b}, and in Opus 5, no. 1, D^{b} attains importance in the development section.

Example 3: Opus 5, no. 1/I, mm. 40-41



The shift in tonality is quickly "corrected" and the fortepiano finishes the statement with two measures of "Brilliant style" figurations. The 'cello now states the principal theme, however, this time lacking the two measures in which the brief shift in tonality had occurred. This harmonic gesture will not occur again. Instead, new extensions are found for this section of the theme at each of its restatements. Lewis Lockwood remarks, "This touch of sophistication utterly separates Beethoven, no matter how early in his career, from virtually all his contemporaries but Haydn and Mozart. "[70]

Measures 57-72: Transition. The transition modifies arpeggiated figures derived from the P theme which are treated sequentially while modulating to the dominant.

Secondary Theme Area

The secondary theme area presents a number of difficulties for analysts and listeners expecting an exposition that abides by normal procedures. Not only does the secondary theme area contain certain material which appears more to be transitional than thematic, remarkably the secondary theme area

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70 Lockwood, *Beethoven Newsletter*, 20.

also contains nine shifts of mode.[71] Also, references to the minor are elaborated later in the exposition. Bathia Churgin explains the function of harmonic and tonal instability in the secondary key area in Classic sonata form:

> The unexpected shift to the dominant minor highlights the entry of S and lends it a unique harmonic color since the minor brings with it a largely new set of chords and harmonic associations, as well as a new affect, often on the dark side of expression. The entry of the minor mode is certainly a harmonic shock and the return to the major then becomes a dramatic issue in the form.[72]

Measures 73-80: Secondary Theme 1S. In spite of the secure dominant preparation of the transition, the first secondary theme (1S) appears in the dominant minor at measure 73. The tonality vacillates between C major and C minor while a series of figures seem to be trying again to prepare for the dominant. The secondary theme 1S is made up of elements derived from measure 1 of the Introduction and measure 35, the P theme of the exposition. Tonal ambiguity is created by the entrance of 1S on an A^{b} major chord which is borrowed from C minor. Theme 1S is repeated in measures 77-80, interpolated one whole-step up in the key of D minor which continues to obscure the C major tonality. At measure 81 the fortepiano introduces what seems to possibly be a new theme that is strongly hinting at the "proper" tonal goal, C major. The new tune proves not to be a new theme at all as theme 1S returns in the fortepiano at measure 85.

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[71] Churgin, 37.

[72] Churgin, 35.

Measures 93-107: Secondary Theme 2S. At measure 93 the fortepiano begins a series of scale figurations in C major, utilizing P material and alternating with the 'cello.

Measures 108-115: Secondary theme 3S. Theme 2S is interrupted by a six-measure rhythmic passage in measures 108-115 that shifts back to the tonality of C minor. The transitional nature of this passage creates a sense of surprise when a new secondary theme emerges in the dominant at measure 116.

Measures 116-125: Secondary Theme 4S. Based on elements of the opening theme (1P), the brief, lyric theme 4S is stated first in the 'cello in C major and is repeated and ornamented in the fortepiano, ending in measure 125 with a cadence on the dominant of C major.

Measures 126-143: Secondary Theme 4S. The C major tonality is immediately destroyed as secondary theme 4S enters in A^b major, the "borrowed" Neapolitan chord from the parallel key of C minor. This tonal relationship was similarly treated in theme 1S. The tonality begins to revert back to C major in measure 133 in preparation for the closing section. The material introduced at measure 133 may also be viewed as a blending of 4S material and closing material, a deception quite readily found in many of Beethoven's works.

Measures 143-160: Closing Section. The closing section (K) is based on material from theme 1P and leads either to the repeat of the exposition or to the development.

Development

Measures 161-204. The development opens in the remote key of A major (III) and presents the opening theme, slightly varied, in its entirety. Barry Cooper justifies Beethoven's usage of third relationships:

> The modulation to the mediant major helps to create an entirely new relationship between the end of the exposition and the music which follows it, as well as having consequences for the tonal plan of the recapitulation and coda.[73]

At measure 172 the first two measures of the P theme are developed in canonic imitation and sequential progression. The tonality travels downward through the circle of fifths, touching on minor keys with the tonics D, G, C, and F, a plan which perhaps was presaged by the tonal instabilities of the S area in the exposition. The rhythmic intensity and tension culminate at measure 193 with a *fortissimo* German-sixth chord which resolves to the dominant of F minor in measure 194. The D^{b} of the German-sixth chord becomes the focal point in the odd 'cello figure which is extended by repetition to measure 203. This passage contains little motion and presents an image of suspended animation as the instruments exchange brief and equivocal comments, finally coming to an agreement on the 'cello's gesture in measures 202-203. The half-step C-D^{b}-C figure of the 'cello in this section may be a reference to the unexplained $C^{\#}$-D gesture of the 1P theme (measure

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[73] Cooper, 201. Beethoven's interest in third relationships is well documented and pervasive in the repertory. For example, the well-known move from C major to E major in the first movement of the "Waldstein" Sonata, Opus 53 (1803-4), is only one of a number of later works displaying the third relationship. The Fortepiano Sonata in G, Opus 31 no. 1 (1802), also used this relationship. In another exceptional example from the third movement of the Fortepiano Trio in E^{b} major, Opus 70, no. 2 (1808), the harmony is focused on the relationship between A^{b} major and E major, an understanding of which requires acknowledgment of the enharmonic change, $G^{\#}$ for A^{b}.

40.) The upper auxiliary of the 'cello figure (D^b) also serves as a temporary tonal area as the retransition begins in measure 205.

Measures 205-220: Retransition. The retransition begins in D^b major and repeats some of the harmonic instability found in the S theme. A chromatic bass line leads to the dominant in measure 217, and the ensuing four measures of dominant preparation contain material derived from measures 137-140 of the exposition.

Recapitulation

Measures 221-253: Principal Theme. The opening (P) theme appears an octave higher in the fortepiano, and the 'cello enters at measure 224 with a contrapuntal imitation of measure 223, presenting the element of a counter theme. As the 'cello takes over the theme in measure 232, a modulation to B^b has begun. The theme is considerably varied and is accompanied by an ostinato figure derived from the third measure of the exposition.

Measures 246-253: Transition. The brief transition section is condensed from the earlier version and is on C major.

Measures 254-325: Secondary Theme Area. The secondary themes are identical to the exposition, although now in the tonic key of F major.

Measures 325-247: Closing Section. The closing material is a repeat of the earlier closing section, transposed to the tonic key, and ending on a German sixth chord at measure 339, leading to a fermata and a diminished seventh chord at measure 341. The pause is followed by a chromatic

extension in the fortepiano, which rapidly reviews the tonal centers of the movement before settling on a dominant six-four chord, as the coda begins.

Coda

The first movement the sonata in F major has been described by Kerman as "almost a miniature concerto,"[74] due to the lengthy coda which begins with an extended cadenza for both instruments. The coda creates a four-part formal scheme which Lockwood describes as "two essentially expository sections (the so-called exposition and recapitulation) balanced by one that is developmental and one that extends and fulfills the closing function."[75]

Measures 347-362. The coda begins with a brief fugato based on the first measure of the P theme, leading into a summation of the keys used in the movement, before coming to a temporary rest on a B^{b7} chord at measure 362.

Measures 362-367. Material from the introduction is recalled in the *Adagio* of measures 362-367, and the 'cello seems to reminisce about the first half of its original motives in the opening.

Measures 367-385. Beginning on a cadential six-four chord, the *Presto*, features cadenza-like gestures consisting of triplet runs outlining descending and ascending arpeggios of F major, followed by a conventional cadence with

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74 Kerman, 6.

75 Lockwood, *Beethoven Newsletter*, 19.

fermata. Because of these bravura passages, this sonata is sometimes labeled a "miniature concerto."[76]

Measures 385-400. Three measures of principal theme P are stated, followed by sequential interpolations. This leads to a unison statement of measure 37 by both instruments and a cadence on the tonic. The final six measures consist of figurations reiterating the tonic cadence.

Second Movement
Form: Rondo (ABACABA, Coda)
Section A: measures 1-24
Section B: measures 24-59
Section A: measures 60-84
Section C: measures 85-140
Section A: measures 141-167
Section B: measures 167-234
Section A: measures 235-246
Coda: measures 246-290

Rondo: *Allegro vivace* F major

After a movement of such immense proportions and intense drama as the first movement of Opus 5, no. 1, the sprightly and dance-like rondo finale offers a delightful contrast. This contrast of form had already been employed by Beethoven in his Fortepiano Concerto in B^{b}, Opus 19, and would prove to be useful in many other works throughout his career.

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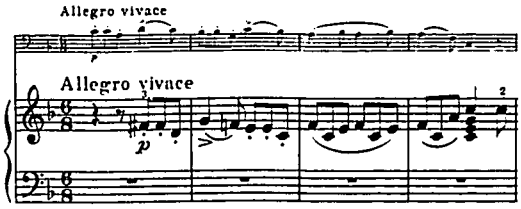
[76] Kerman, 6.

Section A

Measures 1-24. The first movement had focused on the motive of the rising third in numerous and remarkable ways, and we now find the interval reversed in the principal theme of the rondo. The motive of the falling third is immediately asserted, first by the 'cello, and followed by the fortepiano in canonic imitation. It is interesting to note that the implied harmony of the first measure is not that of the tonic, but rather the supertonic, D major (see example 4). Within the first two measures, the harmony traverses through a cycle of fifths and resolves on the tonic in measure 3. The relevance of the supertonic D major becomes evident as section B enters in the key of G major. The tendency toward tonal instability will be seen to permeate the entire rondo.

Example 4: Opus 5, no. 1/II, mm. 1-4



Section B

Measures 24-59. Subordinate theme I enters gracefully in the fortepiano in the key of G major, and is countered by an imitation in the 'cello. The move to the dominant, C major, is delayed until measure 35. Sharp sforzati on the upbeats interrupt the lyrical quality of this theme, which is an inversion of the interval of the A theme. The intensity builds as the layering of the imitations becomes closer, leading to a *forte* in measure 38.

At measures 38-41 the tonality begins fluctuating between C major and its parallel minor, adding to the harmonic interest. At measure 52 the fortepiano begins a transitional pattern, rising two octaves in three measures and arriving at the tonality of A^b major with a sixteenth-note trill.

Section A

Measures 60-84. At measure 60 the theme from section A returns in the tonality of A^b major. It is Szabo's opinion that this passage is a false entry and actually belongs to the previous B section.[77] However, since the prevailing atmosphere of the movement involves the instability of tonality, and since locating the second A section at measures 60-84 covers twenty-four measures (precisely the same as the opening A section), it seems more plausible that the "false entry" is actually an example of Beethoven slyly toying with the expectations of the listener. The tonality is quickly "corrected" by two modulatory measures based on the opening theme and a cadence occurs on the dominant at measure 66. The opening theme is repeated in the tonic and followed by a short transitional passage which modulates to B^b minor by way of a German-sixth chord in measure 81.

Section C

Measures 85-140. The dramatic shift in key to B^b minor (the flattened subdominant of F) alters the playful mood of the previous sections. Subordinate theme II consists of two parts, each consisting of inversions of the principal theme; however, the switch to minor mode immediately creates

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[77] Edward J. Szabo, "The Violoncello-Piano Sonatas of Ludwig van Beethoven" (Ph.D. diss., Columbia University, 1966), 41.

a much more serious effect. The intensity is enhanced through the use of sforzati, pizzicati, and the rhythmic energy of a driving Alberti bass.

The second part of section C begins at measure 101 and the instruments continue to exchange thematic statements until a transitional passage begins at measure 117. At this point the sonorous capacity of the 'cello is fully exploited by the use of sustained low double-stops, in fifths, on a G^{b} major chord. The rich tone quality of the 'cello is contrasted by delicate broken triads ascending in the right hand of the fortepiano as the tonality moves to D^{b} major. A German-sixth chord at measure 127 breaks the spell, and the fortepiano extends the theme in C major, in preparation for the return of the principal theme.

Section A

Measures 141-167. The principal theme returns in the 'cello, with the imitation of the fortepiano inverted. The right hand of the fortepiano provides an elegant counterpoint in running sixteenth notes.

Section B

Measures 167-234. Subordinate theme I returns in the dominant, and is extended with a move to the key of F major in measure 184. The harmonic quality of the tonic is enhanced by the German-sixth chord at measure 182 and the Italian-sixth chord at measure 185. The transitional passage that originated in section C appears at measure 205, utilizing the sonorous double-stops in D^{b} major and B^{b} minor. This return of section B proves to be the longest and possibly weightiest segment of the movement,

as sequential imitations alternate between the instruments and ascend chromatically, arriving on the dominant.

Section A

Measures 234-246. This brief section is introduced by a trill in the fortepiano and consists of a statement of the principal theme in thirds, but the canonic imitation previously employed are now replaced by a trilled dominant pedal point. A short variation of the second phrase of the theme leads directly into the coda.

Coda

Measures 246-267. A summation of the various themes occupies the coda up to a fermata and dominant-seventh cadence at measure 267.

Measures 268-282. The second phrase of the principal theme is reviewed and developed in the slow section following the fermata, and the motion slows even further with two measures of *Adagio* at measures 281-282.

Measures 283-290. As the tempo returns, the three-note motive of the opening is reiterated by the 'cello as descending sixteenth note arpeggios in the fortepiano intensify the rhythmic excitement, bringing the movement to a brilliant close.

Opus 5, no. 2

The two sonatas, Opus 5, share the same structural plan; each opens with an *Adagio* introduction, followed by an *Allegro* first movement, which in turn is followed by a rondo finale. The essential difference lies in the treatment of the *Adagio* introduction. While the *Adagio* of the sonata in

F major consists of thematic material which is employed throughout the Sonata-Allegro first movement, making the introduction a dependent and integral part of the whole, the introduction of the sonata in G minor achieves a distinctly different purpose, and presents the image of a fully independent and dramatic slow movement.

The *Allegro* of Opus 5, no. 2 is one of the longest of all early Beethoven *Allegro* movements, consisting of 509 measures, with repeat signs not only in the exposition, but in the development and recapitulation as well. The harmonic plan of the first movement is conflicted by complex modulatory patterns which threaten the stability of the tonic and eventually destroy it. The tension is resolved when the movement closes in the key of G major, the tonality of the finale. Another unusual feature of the first movement is the appearance of a new theme midway through the development, a strategy which Beethoven would employ several years later in the first movement of the Third Symphony. The recapitulation contains an expansion of the closing material, offering a possible example of what Kerman calls Beethoven's "well-known insistence on making transitional and cadential matter sound individual."[78]

First Movement
Form: Sonata-Allegro
Introduction: measures 1-44
Exposition: measures 45-215
Development: measures 216-314
Recapitulation: measures 315-480
Coda: measures 480-553

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[78] Kerman-Tyson, 97.

Introduction: G minor *Adagio sostenuto e espressivo*

The *Adagio* consists of three separate themes and will be analyzed as a ternary form, the sections labeled A and B, and the themes labeled theme I, II, and III, in the following manner:

Section A	Theme I: mm. 1-6
	Theme II: mm. 7-10
Section B	Theme III: mm. 11-14
	Theme I: mm. 15-27
Section A^1	Theme II: mm. 28-32
	Theme I: mm. 32-42
Transition	mm. 42-44

Section A

Measures 1-6. The tonic key is immediately established with a G minor chord. Theme I enters in the form of a descending scale with dotted rhythms, covering a tenth. Drama and grave emotional intensity are created through the use of dotted rhythms and fluctuations in register.

Measures 7-10. The 'cello enters with theme II, employing the dotted rhythm and stepwise motion of theme I, accompanied by sixteenth-note patterns in the fortepiano. The fortepiano takes over the theme at measure 9 and begins a modulation to E^b major.

Section B

Measures 11-14. The more lyrical theme III is stated by the 'cello in E^b major with a canonic imitation in the fortepiano beginning in measure 12. The cadence announces the return of theme I in measure 14.

Measures 15-27. Theme I is restated, now minus its second measure, in the key of E^b major. The E^b major chord in measure 15 is cleverly linked to the tonic G minor by the root note in the base (G). The theme is subsequently developed canonically and with inversion, retrograde, and stretto. A series of dominant seventh chords begins at measure 22, all related to the key of A^b major and its relative minor key of F. The harmonic series resolves in measure 27 to the key of A^b major.

Section A^1

Measures 28-33. Theme II is restated by the 'cello in the key of A^b major, followed by a sequential extension in the fortepiano, raising the theme by a step at each statement, and modulating towards a cadence on D minor as theme I returns.

Measures 33-43. The return of theme I consists of a series of imitations of measure 2, the measure that had been missing in section B. The imitations are exchanged between the two instruments in diminution and inversion, while passing through the keys of G minor and C minor. At the arrival of the dominant in measure 37, the dotted rhythm descending scale of theme I is introduced and intensified by long durations of silence. Antony Hopkins compares this element to the Third Symphony:

> Beethoven was a master of the eloquence of silence as he had already shown in the introduction to the G minor 'Cello Sonata Op. 5. An early sketch for the funeral march [of the Third Symphony] shows his preoccupation with the emotional power of silences.[79]

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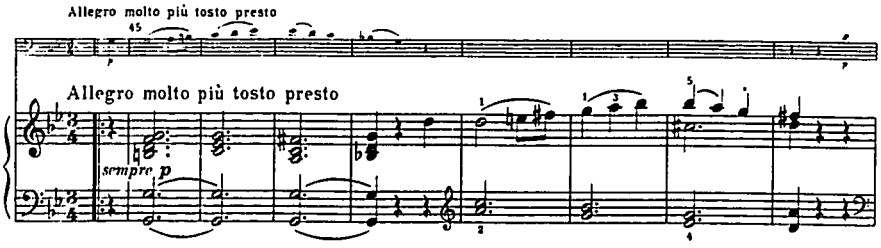
[79] Hopkins, 87.

The silence is interrupted by a deceptive cadence and German-sixth chords in measures 41 and 43.

Exposition: G minor *Allegro molto piú tosto presto*

Measures 45-83: Principal Theme. The principal theme (1P) is stated in the 'cello, accompanied by the fortepiano with single chords for each measure (see example 5). The tonality of G minor is momentarily in question when a B-natural appears in the opening dominant-seventh chord. As the movement unfolds the B-natural becomes increasingly important and eventually succeeds in altering the tonality of the work. At measure 70 a new theme (2P) occurs, derived from 1P, starting in the 'cello and shifting to the fortepiano at measure 78. As the transition approaches, the new theme functions as an admix of 2P and the first transitional theme, 1T.

Example 5: Opus 5, no. 2/I, mm. 45-52



Measures 84-105: Transition. The 2P/1T theme continues to modulate and at measure 94, following a German-sixth chord, a new transitional theme appears (2T), in the key of B^{b} minor. The D^{b} tone of the new theme's minor tonality is erased by an enharmonic substitution of $C^{\#}$ in measure 105,

restoring the tonality to the anticipated B♭ major, as the secondary theme area begins.

Secondary Theme Area

Measures 106-164: Secondary Theme Area. The secondary theme (S) is derived from the ascending scale of 1P and the rhythmic figure of 1T. It is extended by sequential imitation and pauses at a fermata in measure 143 on a dominant-seventh chord. An extension of the theme follows the pause and the material is varied rhythmically and intensified by elements borrowed from 2P/1T.

Measures 164-200: Closing Section. The first closing material (1K) is derived from measures 52-58 of 1P, and measures 174-178 are variations of measures 63 and 64. It is interesting to note the tonality in measures 169-170; after two cadences on B♭ major, the B-natural again appears, pushing the tonality to C minor at the fermata. The anticipated modulation is, however, postponed and the tonality resumes in B♭ major. This harmonic gesture will return and in its final incarnation will actually fulfill its destiny. The second theme of the closing section (2K) begins in measure 182 and, in measures 193-197, contains another harmonic gesture which will also be expanded at a later point. In this instance, the bass emphasizes a half-step pattern, with sforzati accenting the down-beats, creating a Neapolitan-sixth in measures 194 and 196. A cadence on B♭ introduces the final closing theme (3K) which is derived from S.

Development

Measures 215-363. The development begins with an extension of the final closing theme (3K), followed by the development of theme 2P/1T, the combined principal and transitional themes derived from measures 70-84. The tonality of this section touches upon several tonal areas: C minor and A^b major at measure 231, B^b major at measure 244, C minor at measure 248, and D minor at measure 252.

A new theme is introduced in measure 264, consisting of elements derived from themes P, T, and S. The theme is first stated by the 'cello in D minor, and is repeated by the fortepiano in G minor. This is followed by another statement of the theme by the 'cello in E^b major. The theme is extended and merges with a variation of the P theme, and the tonic key returns at measure 290. A development of the third measure of P provides the transition to the recapitulation.

Recapitulation

Measures 314-339: Principal Theme. An abbreviated version of the principal theme returns in the 'cello, accompanied by a contrapuntal melody in the fortepiano. The fortepiano's brief countermelody is perhaps the most lyrical and beautiful in the entire movement, and lasts a mere five measures. Theme 2P is interrupted by an abrupt shift to E^b major at measure 337, and at measure 346 transitional theme 2T appears.

Measures 340-357: Transition. Transitional theme 2T appears in an abbreviated form, starting in E^b major and reverting to G minor at measure 346.

Measures 358-416: Secondary Theme Area. Theme S returns in its original form, but in the tonality of G major. The extension of the secondary theme appears identical to the exposition, now in the tonic G minor.

Measures 416-457: Closing Section. The closing material returns in the tonic key but the tonality is again threatened at the fermata in measure 422, just as it had been in measure 170 of the exposition, although an additional fermata now intensifies the threat as the instruments seem to linger in suspended animation, pondering the situation. Again, as earlier, the threat is abolished by the return to the tonic, but as the 'cello begins its reiteration of the closing theme, a sudden shift to A^b major abruptly achieves the threatened modulation. The shift in tonality sends the fortepiano into a passage of eighth-note triplets in an almost obsessive attempt to restore the tonality. During this tirade, the fortepiano re-introduces the half-step bass pattern accenting the down-beats derived from measures 194 and 196. After the dominant is confirmed by a cadence in measure 447, the 'cello joins the fury and the half-step bass pattern is expanded to include the 'cello. This time, however, the 'cello's motion is delayed, producing an ominous dissonance in the series of German-sixth chords at measures 449-453. The expansion and development of these two gestures of closing material serve to intensify the drama of the movement, and offer an early example of Beethoven's departure from tradition.

The remainder of the closing section is extended to serve as balance to the intensity of the preceding material. The recapitulation ends with a cadence on the tonic, G minor, followed by repeat signs. While the use of repeat signs after a recapitulation is not unusual in the tradition of Classical

sonata form, it is however, rather unusual for Beethoven. While some performers faithfully acknowledge all repeat signs in Opus 5, no. 2, others prefer to ignore the repeat of the development, citing the massive size of the *Allegro,* and proceed directly into the coda. William S. Newman judiciously advises, "There is good evidence that Beethoven did not regard his repeat signs as optional and that he inserted them advisedly, not merely perfunctorily."[80] A comparison of the two approaches to Opus 5, no. 2 clearly reinforces Newman's conviction.

Coda

Measures 480-507. The coda begins with six measures of material in E^b major and C minor, derived from the development. After a pause on a G-seventh chord, fragments of the P theme are developed with sforzati on the up-beats. The tonality passes momentarily through A^b major at measures 493-496.

Measures 508-523. The principal theme appears in broken rhythm in the bass in measures 508-523. The theme is accompanied by triplets in the fortepiano and a sustained note G in the 'cello. The drama is intensified as the dynamics rise and fall, and the tonality vacillates between G minor and C minor.

Measures 524-557. In measures 524-533 a chorale-like passage interrupts the drama and destroys any notion of C minor with dotted half-

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[80] William S. Newman, *Beethoven on Beethoven; Playing His Piano Music His Way* (New York: W. W. Norton & Co., 1988), 263.

note chords passing through F major, E^b major, and D major, ending with arpeggio "tags" on the tonic and dominant of G minor.

Measures 538-553. In a final *fortissimo* restatement of the P theme, the B-natural tone from the opening phrase finally triumphs, and the movement comes to a close in G major.

Second Movement
Form: Rondo (ABACABA, Coda)
Section A: measures 1-32
Section B: measures 33-65
Section A: measures 65-99
Section C: measures 100-166
Section A: measures 166-195
Section B: measures 196-227
Section A: measures 227-235
Coda: measures 235-304

Concerning the rondo of Opus 5, no. 2, Lewis Lockwood states:

> The finale of the G minor Sonata is a good deal more original, achieving a quality of elegance for which no comparable example appears before the Opus 18 Quartets, especially the G major Quartet, Opus 18, no. 2.[81]

Lockwood's reference to originality and elegance most likely points to Beethoven's masterful handling of the numerous thematic elements utilized in Opus 18, no. 2, as well as an abundance of what Kerman refers to as Haydnesque humor.[82] Lockwood also refers to the originality displayed in Opus 5, no. 2, through Beethoven's methods of exploring the sonorous and

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[81] Lockwood, *Beethoven Newsletter*, 19-20.

[82] Kerman, 44-45.

registral capacities of the two instruments, individually and "in myriad combinations."[83] Since the composition of the sonatas, Opus 5, predates the writing of the first quartets by at least two years, Lockwood's likening of the 'cello sonata in G minor and the Quartet in G major may suggest that the 'cello sonatas actually represent somewhat of a prototype of the more complex genre of quartet writing.

Just as the *Allegro* of the sonata in F major had explored the many uses of the rising third, the rondo of the sonata in G minor immediately establishes the importance of that gesture. Also, just as the rondo of the F major sonata had stressed the harmony of the supertonic in the opening phrase, the rondo of the sonata in G minor stresses the harmony of the subdominant in its opening gesture, an element that Lockwood feels anticipates the opening of the finale of the Fourth Fortepiano Concerto.[84] Throughout his career, Beethoven was far from shy about utilizing off-tonic openings, and examples, (such as the openings of the First and Ninth Symphonies) are plentiful.

Rondo: G major *Allegro*

Section A

Measures 1-32. Stated in the fortepiano, the principal theme is a playful two-part tune in the key of G major (see examples 6 and 7).

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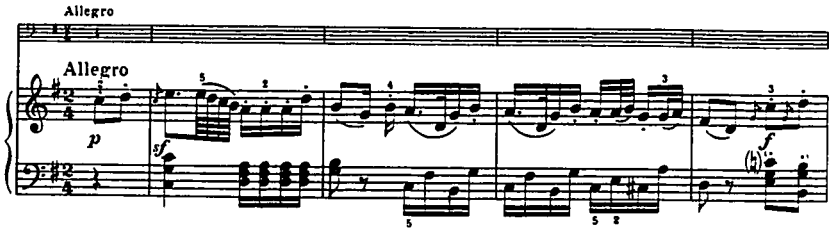
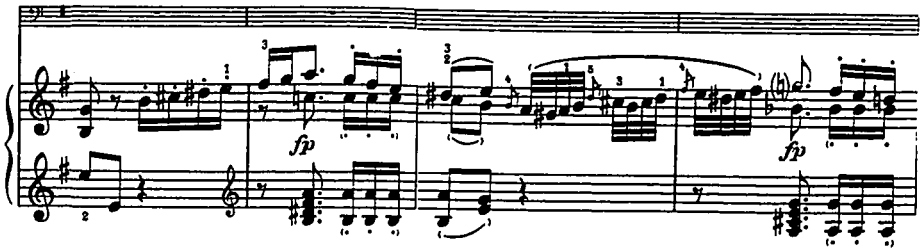
[83] Kerman, 20.

[84] Kerman, 20.

Example 6: Opus 5, no. 2/II, mm. 1-4. Part One

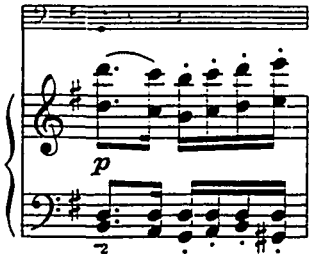


Example 7: Opus 5, no. 2/II, mm. 8-11. Part Two

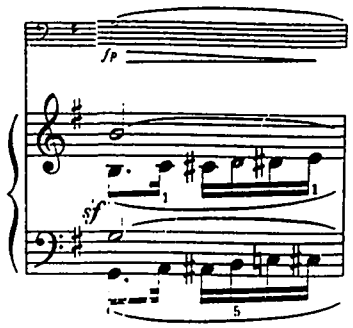


The two parts of the tune shown in examples 6 and 7 will become integral elements in the movement. Three other gestures will also be seen to play a critical role in the unfolding of the rondo (see examples 8, 9, and 10).

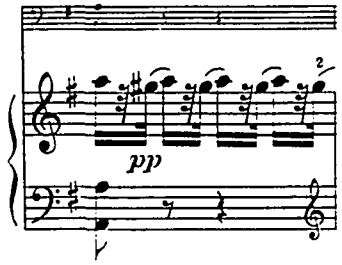
Example 8: Opus 5, no. 2/II, m. 18



Example 9: Opus 5, no. 2/II, m. 22



Example 10: Opus 5, no. 2/II, m. 32



The above examples first occur in section A and function as modulatory or transitional material. They will be expanded and developed throughout the movement.

Section B

Measures 33-64. Subordinant theme I is introduced by the transitional gesture shown in example 11 above. The extremely lyrical theme is stated in the fortepiano, in the key of D major, and repeated by the 'cello. While the

fortepiano accompanies with canonic imitation and a thirty-second note Alberti bass, the tonality passes through the minor harmonies of A, E, and D.

Section A

Measures 66-99. The opening theme is stated first in the 'cello, then in the fortepiano, after which the second part of the opening tune is developed in a three-voice canon at the octave. The imitation is intensified with stretto as the tonality modulates to the dominant.

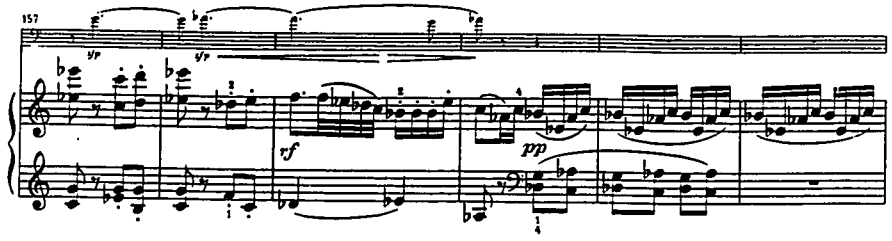
Section C

Measures 100-166. The playful subordinant theme II is derived from the opening phrase, and is introduced by the fortepiano in the key of C major over a rapid arpeggiated thirty-second note accompaniment in the 'cello. (A cumbersome passage such as this could well have been the source of Beethoven's astonishment when Dragonetti performed this work so proficiently on the double bass.) The theme is repeated in the 'cello, accompanied by a thirty-second note Alberti bass in the fortepiano. The thematic material is further extended and developed, leading to a cadence on C major and a halt in the motion at measure 151.

The pause in rhythmic activity leads to a canonic transitional passage derived from the opening three notes of the movement, assuming the persona of tentative suggestions of the principal theme. The tonality shifts to C minor momentarily, then allows a modulation to A^{b} major, as the principal theme is stated in the fortepiano at measures 159-160 (see example 11). The entrance of the theme in the "wrong" key is quickly and smoothly remedied by the use of arpeggios in the fortepiano modulating to the "proper

key" for the principal theme, G major. It is of interest to recall that the suggestion of a possible false return was also employed in the rondo of the F major sonata and, coincidentally, in the same tonality, A^b major.

Example 11: Opus 5, no. 2/II, mm. 157-162



Section A

Measures 166-195. After reaching the "proper" key, the principal theme is stated in the fortepiano with counterpoint in the 'cello. The second part of the theme (example 8) is treated with canonic imitation at the octave. The transitional passage is essentially the same as the original (measures 16-33).

Section B

Measures 196-227. Subordinant theme I returns in its original form, now in the key of G major.

Section A

Measures 227-235. The first phrase of the principal theme is briefly stated in the fortepiano an octave higher and repeated by the 'cello. This short passage is followed by a new gesture at measure 235, as the coda begins.

Coda

Measures 235-250. The new gesture in measure 235 is actually a new incarnation of the principal theme which has been rhythmically altered. The fortepiano's thirty-second note figure is derived from the 'cello accompaniment in section C, measure 104. The passage is extended and modulates to E^{b} major.

Measures 251-279. At measure 251 the 'cello begins a passage derived from measure 9 of the opening theme (see example 6), while the fortepiano provides accompaniment with sixteenth- and thirty-second note figurations. A gradual modulation from E^{b} major back to G major is accomplished through a steady chromatic progression, and the tonic key is reached in measure 257. At measure 260, the 'cello enters with a variation on the opening measures, after which the second phrase of the principal theme (example 7) is developed in imitation and inversion. Subordinant theme II from section C is recalled at measure 272, leading to a cadence and the cessation of the continuous flow of thirty-second notes at measure 279.

Measures 280-304. The activity comes to a standstill as the instruments engage in an exchange of gestures, as if to review the situation. The fortepiano begins to quietly but obsessively vary the phrase, while reviewing all of the tonal areas utilized in the movement. The fortepiano's reverie ends as the 'cello initiates a final statement of the principal theme in a sixteenth-note ostinato figure. The rhythmic intensity increases as the fortepiano executes driving thirty-second note passage work above a tonic pedal point, bringing the movement to a forceful end.

CHAPTER THREE

The 'Cello Sonata, Opus 69

Beethoven in the Middle Period

Composed in 1808, the Sonata in A major, Opus 69, is a product of Beethoven's so-called "Heroic" period, and is but one of many important works emanating from the extremely prolific decade 1802-1812. Beethoven's productivity during these years resulted in an awesome number of masterpieces: an opera, an oratorio, a mass, six symphonies, four concertos, five string quartets, three trios, three string sonatas, and six fortepiano sonatas, in addition to incidental music for a number of stage works, many *Lieder*, four sets of fortepiano variations, and several symphonic overtures. The creative richness of this period was accompanied by several important events that affected Beethoven's life and career, and are therefore worthy of mention.

While Beethoven's financial support had been based mainly on his virtuosity on the fortepiano during his early years in Vienna, his support during the middle period was based largely on patronage by the public theater, and by groups of connoisseurs. He was also thrust into the exhausting role of business entrepreneur, requiring him to solicit publication offers, negotiate fees and contracts, ship scores to publishers, and collect on accounts. His aristocratic benefactors remained faithful; Lobkowitz, Razumovsky, von Oppersdorff, Kinsky, Archduke Rudolph, and especially Lichnowsky continued to be important supporters of the composer. A violent falling-out with Prince Lichnowsky occurred, however, in late 1806, after Beethoven

refused the Prince's request to perform for a group of French officers.[1] This break-up most likely resulted in the termination of the annuity bestowed on Beethoven by Lichnowsky in 1800, and by the spring of 1807 Beethoven was seeking other sources of income. Early in that year Beethoven petitioned the Royal Imperial Court Theater for a fixed annual income, and threatened to leave Vienna if his request was not granted.[2] No written reply to his petition exists. In 1808 Beethoven mentioned in a letter to the poet Heinrich Collin that, "The thought that I shall certainly have to leave Vienna and become a wanderer haunts me persistently."[3]

In October 1808 a tempting offer for the position of Kapellmeister of Kassel was extended to Beethoven by Napoleon's brother Jerome, who had been designated "King" of Westphalia by Napoleon. Beethoven took the invitation seriously enough to inform his publishers Breitkopf and Härtel that he would visit them in Leipzig on his way to Kassel. In his letter of January 1809 Beethoven states:

> At last owing to intrigues and cabals and meannesses of all kinds I am compelled to leave my German fatherland which is still in its way unique. For I have accepted an offer from His Royal Majesty of Westphalia to settle there as Kapellmeister at a yearly salary of 600 gold ducats--I have just sent off by today's post my assurance that I will go, and am only awaiting my certificate of appointment.[4]

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[1] Elliot Forbes, ed., *Thayer's Life of Beethoven* (Princeton, New Jersey: Princeton University Press, 1973), 402-3.

[2] Maynard Solomon, *Beethoven* (New York: Schirmer Books, 1977), 147.

[3] Emily Anderson, trans. and ed., *The Letters of Beethoven,* 3 vol. (London: MacMillan, 1961), 1: 193 (Letter no. 170), Hereafter: Anderson, Letter no. 0.

[4] Anderson, Letter no. 192.

Beethoven's friend Ries asserted that by February the contract for the position at Kassel was ready and "lacked only the signature."[5]

Beethoven never did go to Kassel, but he was able to use Jerome's offer, equivalent to about 3400 Austrian florins a year, as a bargaining-point with his Viennese patrons. The outcome was an agreement, signed February 26, 1809 by Archduke Rudolph, Prince Lobkowitz, and Prince Kinsky, guaranteeing a yearly annuity of 4000 florins, with the proviso that Beethoven remain in Austria, "until Herr van Beethoven receives an appointment which shall yield him the equivalent of the above sum," or, in the absence of such an appointment, for life.[6] With this annuity agreement Beethoven attained what promised to be, in Solomon's words, "the highest degree of independence and security possible within a semifeudal mode of patronage."[7]

In the midst of the dispute with his Viennese patrons, Beethoven was granted permission to stage an *Akademie* for his own benefit on December 22, 1808. At this famous concert Beethoven debuted his newly-completed Fifth and Sixth Symphonies, the Fourth Fortepiano Concerto, movements from the Mass in C, and, as a grand finale written for the occasion, the Fantasy for Fortepiano, Orchestra and Chorus, Opus 80, as well as certain smaller works. Beethoven improvised the introduction to the Fantasy and somehow forgot that he had instructed the orchestra to ignore the repeat of the second

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[5] Thayer-Forbes, 453-4, 458.

[6] Thayer-Forbes, 456-7.

[7] Solomon, 149.

variation. As a result, the performance was stopped by Beethoven at a point where it had become "a run-away carriage going down-hill, an overturn was inevitable."[8] Beethoven's interruption of the performance caused great humiliation among members of the orchestra, and he was obligated to attempt making amends by publicly begging the pardon of the players. A number of other problems occurred. Coupled with the sheer length--four hours--of the concert, the freezing chill in the Theater-an-der-Wien, and the inadequate rehearsal time, this concert was not received as warmly as the composer would have liked. Johann Reichardt, Kapellmeister of Hesse-Kassel, reviewed the concert in the following manner:

> I accepted the kind offer of Prince Lobkowitz to let me sit in his box with hearty thanks. There we continued, in the bitterest cold, too, from half past six to half past ten, and experienced the truth that one can easily have too much of a good thing--and still more of a loud. Nevertheless, I could no more leave the box before the end than could the exceedingly good-natured and delicate Prince, for the box was in the first balcony near the stage.[9]

Despite the monumental quality of the great masterpieces performed, the success of the evening was very mixed. Beethoven's financial gain from the December *Akadamie* is unknown.

The mishaps at the December concert added fuel to a very serious breach in relations with the orchestra which had occurred during rehearsals for a previous concert in November. At that time the orchestra was so angry with Beethoven that the members refused to rehearse with him present.[10] In

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8 Thayer-Forbes, 449.

9 Thayer-Forbes, 448.

10 Thayer-Forbes, 447.

a letter of January 1809 to the publishers Breitkopf and Härtel, Beethoven himself attests to the quality of his relations with contemporary musicians:

> Abusive articles about my latest concert will perhaps be sent again from here to the Musikalische Zeitung. I certainly don't want everything that is written against me to be suppressed. But, people should bear in mind that nobody in Vienna has more private enemies than I have. The promoters of the concert for the widows, out of hatred for me, Herr Salieri being my most active opponent, played me a horrible trick. They threatened to expel any musician belonging to their company who would play for my benefit.[11]

The friction between Beethoven and the orchestra members could, of course, be linked to his notorious hot temper and petulant nature. However, by this point in his life, Beethoven's deafness had progressed to such an extent as to present fairly serious problems in his communication with people, and misunderstandings were probably frequent.

As if the tumult and fury of Beethoven's business and professional relationships were not enough, war arrived in May 1809 as Napoleon's forces approached Vienna. On May 4 the Empress and the Imperial family departed Vienna. Beethoven's close friend and patron Archduke Rudolph accompanied her, and his departure moved Beethoven to compose *Les Adieux*, Opus 81a. On the first page of the autograph Beethoven wrote "The Farewell, Vienna, May 4, 1809, on the departure of his Imperial Highness the revered Archduke Rudolph." The following inscription appears over the Finale: "The arrival of his imperial highness the revered Archduke Rudolph, January 30, 1810."[12] At 9 o'clock on the night of May 11 a battery of twenty

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[11] Anderson, Letter no. 192.

[12] Thayer-Forbes, 464.

howitzers opened fire on Vienna, while the remaining residents of the Imperial city crowded into cellars and fireproof vaults. Beethoven's residence at Akadamienstrasse on the Wasserkunst Bastei was directly in line of the shelling, and he sought refuge in the cellar of his brother Caspar's house on Rauhensteingasse, "where he covered his head with pillows so as not to hear the cannons."[13] On the afternoon of May 12 the white flag was sent up, the firing ceased, and Napoleon took Vienna a second time.

During the occupation of Vienna, an edict from Napoleon was issued requiring that one-quarter to one-third of the rents collected on buildings in Vienna be turned over to the French forces. This, coupled with the increase in interest rates, the shortages of food and supplies, and the fact that he was unable to make his usual and much-needed summer trek to the country, effected Beethoven strongly. In July 1809 he wrote the following to Breitkopf and Härtel:

> You are indeed mistaken in supposing that I have been very well. For in the meantime we have been suffering misery in a most concentrated form. Let me tell you that since May 4th I have produced very little coherent work, at most a fragment here and there. The whole course of events has in my case affected both body and soul. I cannot yet give myself up to the enjoyment of country life which is so indispensable to me--What a destructive, disorderly life I see and hear around me, nothing but drums, cannons, and human misery in every form.[14]

Another letter, this one from November 1809, to his Leipzig publishers further reflects the composer's mood as the year progressed:

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[13] Thayer-Forbes, 465.

[14] Anderson, Letter no. 220.

> We are enjoying a little peace after violent destruction, after suffering every hardship that one could conceivably endure. I worked for a few weeks in succession, but it seemed to me more *for death* than for *immortality* . . . What do you say to this *dead peace?* The only *certainty* we can rely on is *blind chance.*[15]

Remarkably, despite his mood and discomfort during the year, Beethoven was able to compose several major works, including the Fifth Fortepiano Concerto, Opus 73, the String Quartet, Opus 74, and three Sonatas for Fortepiano, respectively Opus 78, 79, and 81a.

It was during this period of complicated financial dealings, extensive transactions with publishers, and the anguish of invasion and occupation that Beethoven produced the third of his sonatas for fortepiano and 'cello, Opus 69. The work was dedicated to his close friend, Baron Ignaz von Gleichenstein, who assisted Beethoven in many everyday chores and errands and was also instrumental in arranging the annuity agreement in 1809. Beethoven originally intended to dedicate the Fourth Fortepiano Concerto, Opus 58, to Gleichenstein but changed his mind and substituted Opus 69.[16] The concerto was instead dedicated to Archduke Rudolph.

The first performance of Opus 69 took place on March 5, 1809,[17] at an *Akadamie* for the benefit of 'cellist Nikolaus Kraft, who performed the work with Baroness Dorothea von Ertmann, a friend of the composer and fortepianist of the first rank. The next known performance of Opus 69

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15 Anderson, Letter no. 228.

16 Lewis Lockwood, "The Autograph of the First Movement of Beethoven's Sonata for Violoncello and Pianoforte, Opus 69,"*The Music Forum,* edited by William J. Mitchell and Felix Salzer, (New York: Columbia University Press, 1970), II: 32.

17 Thayer-Forbes, 467.

occurred in 1812 at the Schuppanzigh concerts, with Carl Czerny at the fortepiano and Joseph Linke on 'cello.[18]

The Heroic Decade

Beethoven's second period style is generally dated as beginning just after he wrote the well-known Heiligenstadt Testament in October 1802. Drafted as a letter to the composer's brothers, this document is described by Joseph Kerman as "a great unburdening cry of grief at his deafness and solitude--mingled with apology, self-justification, self-pity, pathos, pride, hints of suicide, and presentiments of death."[19] The letter, however, is more than a cry for help. Twice in the famous letter Beethoven also mentions his dedication to his art and his determination to fulfill his artistic destiny. Kerman notes that other artists have been known to suffer neurosis, breakdowns, depressions, illness, and destructive love affairs without experiencing "the amazing artistic after-effects that such things seem to have produced in Beethoven."[20] The "after-effects" to which Kerman refers are, of course, the extraordinary collection of masterpieces that emerged following the Testament, many displaying images of triumph over adversity and earning the middle period the nickname the "Heroic" decade.

During Beethoven's middle period he wrote most of his famous works for orchestra; through them he developed what Kerman calls a new

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[18] Eugenio Albini, "Sonata No. 3 in A for Violoncello and Piano, Opus 69," translated by Thomas K. Scherman, *The Beethoven Companion,* edited by Thomas K. Scherman and Louis Biancolli, (Garden City, New York: Doubleday & Company, 1972), 692-93.

[19] Joseph Kerman, *The Beethoven Quartets* (New York: W. W. Norton & Co., 1979), 91.

[20] Kerman, 91.

"symphonic ideal," which in turn influenced most of his non-orchestral works of the period.[21] Beginning with the *Eroica*, which marks a turning-point in the history of Western classical music, Beethoven's middle period works create the impression of a psychological journey or a growth process, presenting the image of arriving, transcending, or triumphing. Certain other characteristics that assist in these impressions are suggested by Kerman:

> Evolving themes, transitions between widely separated passages, actual thematic recurrences from one movement to another, and last but not least, the involvement of extra-musical ideas by means of a literary text, a programme, or (as in the *Eroica*) just a few tantalizing titles.[22]

Rather than projecting these elements on a single movement in sonata form, these characteristics are expanded to encompass the work as a whole.

The concept of "heroic" music was certainly not an invention of Beethoven's artistic imagination; heroic music can easily be traced back to the period of the French post-revolution, at a time when public gatherings and festive ceremonies called for music that could articulate the political and nationalistic climate of the period. Between 1791 and 1799 several "democratic" genres developed in France. These included celebratory choral works, with mixed or male-voice choirs, in various forms, usually accompanied by wind groups; funerary music, either with or without voices, including Gossec's *Marche lugubre* as a prototype; and one-movement

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[21] Joseph Kerman and Alan Tyson, *The New Grove Beethoven* (New York: W. W. Norton & Co., 1988), 105.

[22] Kerman, *New Grove Beethoven*, 107.

"symphonies" or "overtures," often in sonata form, for wind ensemble.[23] In 1793 the *Hymne des Marseillais*, written by amateur Claude Joseph Rouget de Lisle, was arranged by Gossec for soloists, chorus, and a band for the August 10 anniversary of the storming of the Tuileries. While Gossec was the most prolific contributor to France's new "national" music, other composers included Steibelt, Pleyel, Martini, Méhul, Cherubini, Le Sueur and many others.[24] Pleyel's *Révolution du 10 Aout, ou le Tocsin allégorique* for chorus, orchestra, additional trumpets, fifes and drums, seven church bells, and cannon, was performed at Strasbourg the same day as Gossec's *Marseillais* arrangement.[25] Cherubini's *Hymne du Panthéon* of 1794 was written for Marat's interment, and Méhul produced the *Chant du départ* which became a "second *Marseillais.*"[26]

The popularity of French Revolutionary music soon expanded across national boundaries. Viennese composers began producing such works as a patriotic opera written by Mozart's student, Süssmayer, and symphonies by Haydn titled *Military* and *Drum Roll.* Haydn also wrote two full-scale masses, the *Mass in Time of War* (1796) and the *Nelson Mass* (1798) which closely approach what would later become Beethoven's heroic style.[27] In 1802 and 1803 operas by French post-revolutionary composers Cherubini and

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[23] Malcolm Boyd, ed., *Music and the French Revolution* (Cambridge: Cambridge University Press, 1992), 8.

[24] Boyd, 8.

[25] Gerald Abraham, *The Concise Oxford History of Music* (Oxford: Oxford University Press, 1988), 645.

[26] Abraham, 655.

[27] Solomon, 193.

Méhul were performed in Vienna for the first time, with enormous success. Kerman traces their impact on Beethoven in certain diverse manners:

> His driving orchestral tutti style, his partiality for marches and march-like material, the free form of his overtures (*Leonore* no. 2, 1805, stands in the same relation to *Prometheus*, 1801, as the *Eroica* Symphony does to the First), and various points of harmony and orchestration. Beethoven's symphonic ideal itself is foreshadowed in the French repertory of the 1790s, in the grand revolutionary symphonies, sometimes with chorus, by Gossec, Méhul and their contemporaries.[28]

Kerman goes on to state that the *Eroica* was conceived as a tribute not to the idea of revolution but to the revolutionary hero, Napoleon, and really to Beethoven himself. In this manner, Beethoven personalized the political symphony.[29]

Solomon believes that despite the foreshadowings of Gossec and others, Beethoven was the first composer to successfully fuse the tempestuous, conflict-ridden subject matter of the heroic style with the sonata principle. According to Solomon: "He permitted aggressive and disintegrative forces to enter musical form: he placed the tragic experience at the core of his heroic style."[30] In the *Eroica*, Beethoven introduces a musical form of death, destructiveness, anxiety, and aggression, proceeding then to transcend these terrors within the context of the work.

Along with the massive size of the *Eroica*, particularly the first movement, other frequently cited innovative features include the use of

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[28] Kerman-Tyson, 109.

[29] Kerman-Tyson, 109.

[30] Solomon, 194.

a new theme in the development section of the first movement, the employment of the winds for expressive rather than coloristic purposes, the introduction of a set of variations in the finale, the use of three French horns for the first time in symphonic orchestration, and the introduction of a funeral march in the slow movement.[31] The element of thematic unity, or "organicism," introduced in the *Eroica* becomes even more pronounced in the Fifth Symphony; the famous opening motif is found throughout the work in many varied forms. As in many other works of the time, the last two movements are run together without a break, a device that contributes to the continuity. In this case, however, the movements are connected with a lengthy transitional passage, and the recurrence of a theme from the third movement in the retransition prior to the recapitulation of the fourth provides a sense of triumphant resolution. The long and weighty last-movement coda is another characteristic of the middle period and adds emphasis to the finale. The tendency to withhold full rhythmic or harmonic resolution at the moment of recapitulation serves to enhance the impact of the longer coda.

The dramatic potentialities inherent in the symphonic ideal also inspired most of the non-symphonic pieces written between 1803 and 1808. One example is the *Waldstein* Sonata, Opus 53 (1804), with its "self-confidently vigorous, triumphant attitude, the bold grandeur of its design, and its well-balanced mastery."[32] While the *Waldstein* ends with the

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[31] Solomon, 196.

[32] Hugo Leichtentritt, "Piano Sonata No. 21 in C, Opus 53 ('Waldstein')," translated by Thomas K. Scherman, *The Beethoven Companion*, edited by Thomas K. Scherman and Louis Biancolli, (Garden City, New York: Doubleday & Company, 1972), 748.

composer's characteristic message of joyous transcendence, another middle period fortepiano sonata, the *Appassionata,* carries its consistently tragic mood to the end. The temperament of this work evoked in Tovey a comparison with *King Lear.* Tovey described the sonata's affect in this way:

> All his other pathetic finales show either an epilogue in some legendary or later world far away from the tragic scene . . . or a temper, fighting, humorous, or resigned, that does not carry with it a sense of tragic doom. In the *Sonata Appassionata* the very beginning of the finale is in itself a final stroke of fate, after which there is not a moment's doubt that the tragic passion is rushing deathwards.[33]

By late 1808 Beethoven's attentions were directed away from the symphonic medium and towards chamber music. For the first time in nearly a decade he had no major symphonic projects in progress. The works which emerged during 1808 and 1809 included the Fortepiano Trios, Opus 70, the String Quartet, Opus 74, the three Fortepiano Sonatas, Opus 78, 79, and 81a, and the Sonata for Fortepiano and 'Cello, Opus 69. In these works, a new lyrical quality appears, along with a sense of inner repose that no longer presents the grand challenges and turbulent responses of the heroic decade.

The Autograph, Sketches, and Publication of Opus 69

While nothing is known today of the autograph manuscripts of the second and third movements of Opus 69, the autograph of the entire first movement is extant. In 1970 Lewis Lockwood presented an in-depth study of this manuscript, known as the "Salzer Autograph" after one of its owners,

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[33] Donald Francis Tovey, *A Companion to Beethoven's Pianoforte Sonatas* (London: The Associated Board of the Royal Schools of Music, 1931), 169.

theorist Felix Salzer.[34] The study of this autograph provides valuable insight into the process of publication of Opus 69, as well as a clear representation of Beethoven's capacities as proofreader. The many corrections made in the first edition are documented in a series of three letters sent by Beethoven to Breitkopf and Härtel in 1809. These letters also reveal that mistakes still exist in some current editions.[35]

Lockwood's research also helps us date the composition of Opus 69. The likely period of composition of the sonata is "middle of 1807 to middle of 1808," since sketches for Opus 69 are intermingled with sketches for the Fifth and Sixth symphonies, as well as the *Leonore Overture,* No. 1, and the second setting of "Sehnsucht," WoO 134.[36] Sketches for a later work also appear among the 1807-1808 sketches of Opus 69. The theme of the variation finale of the Violin Sonata in G major, Opus 96, composed in 1812, appears among the sketches for Opus 69, and may originally have been intended for use in the 'cello sonata.[37] Lockwood points out that a comprehensive publication of the sketches of that period is needed to identify any apparent signs of cross-fertilization between works of 1807 and 1808.

Opus 69 was first offered to Breitkopf and Härtel in a letter of June 8, 1808, along with the Fifth and Sixth Symphonies and the Mass in C, all for the

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[34] Lockwood, *Music Forum,* 25.

[35] Lockwood, *Music Forum,* 35.

[36] Lockwood, *Music Forum,* 33.

[37] William Kinderman, *Beethoven* (Oxford: Oxford University Press, 1995), 163.

price of 900 gulden.[38] Four weeks later, Beethoven reaffirmed the offer and actually sweetened the deal by offering more music for less money:

> I am giving you the Mass, the two symphonies, the sonata for violoncello and pianoforte and two other pianoforte sonatas or, instead of the latter, perhaps another symphony, all for 700 gulden. You see that I am giving more and receiving less--but that is really my limit--You must take the Mass, or else I can't give you the other works--for I pay attention not only to what is profitable but also to what brings honour and glory.[39]

It is interesting to note Beethoven's insistence on including the Mass in C major in the sale. Written in 1807 in honor of the name-day of Princess Esterházy, this work was first performed at Eisenstadt and met with some disapproval from Prince Nikolaus, thereby wounding Beethoven's well-known sense of pride. Consequently, the Prince received neither the manuscript nor the dedication of the Mass.[40] These facts seems to contradict Beethoven's claim in a postscript in the letter of June 8, 1808 to Breitkopf and Härtel:

> Moreover it [the Mass] has been performed at several places, including Prince Esterházy's residence at Eisenstadt, where it was produced on the name-day of the Princess with great applause.[41]

Breitkopf and Härtel continued to resist the offer of the Mass, for in a letter of July 16, 1808 Beethoven again changed the offer and lowered the price again, as well:

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[38] Anderson, Letter no. 167.

[39] Anderson, Letter no. 168.

[40] Thayer-Forbes, 423-424.

[41] Anderson, Letter no. 167.

> I reply that I am willing to release you entirely from everything connected with the Mass--So I am making you a present of it. Even the cost of having it copied you need not defray. . . . As the Mass has been removed, you are going to receive two symphonies, a sonata with violoncello obbligato, two trios for pianoforte, violin and violoncello (since such trios are now rather scarce), or, instead of these last two trios, a symphony, all for 600 gulden.[42]

On September 14, 1808 the contract was signed for the Fifth Symphony, Opus 67, the Sixth Symphony, Opus 68, the A major 'Cello Sonata, Opus 69, and the Fortepiano Trios, Opus 70, no. 1 and 2.[43] The Mass was eventually published as Opus 86 by Breitkopf and Härtel in 1812, with a dedication to Beethoven's patron, Prince Kinsky.

Throughout his career Beethoven repeatedly and emphatically requested that his publishers send him a preliminary proof of a new piece before making an entire press run, so that he could make needed corrections in time for the final printing. The many extant letters to his publishers exhibit Beethoven's justifiable exasperation with some publishers' refusal to comply with this obviously advantageous proposal. On several occasions Beethoven sent the publisher a list of needed corrections to be entered in remaining copies or in subsequent runs. Occasionally he proposed publishing such lists separately for the benefit of the purchasing public, but this plan never materialized.

The first edition of the 'Cello Sonata, Opus 69, was released in April 1809, erroneously designated as Opus 59,[44] and contained a number of errors.

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[42] Anderson, Letter no. 169.

[43] Anderson, Letter no. 168, n. 3.

[44] Georg Kinsky and Hans Halm, *Das Werk Beethovens: Verzeichnis seiner sämtlichen vollendeten Kompositionen* (Munich: G. Henle Verlag, 1955), 164.

On July 26, 1809 Beethoven wrote to Leipzig, and in mentioning the errors, also took the opportunity to indulge in one of his notorious puns:

> Here is a good plateful of misprints, to which, since I care not a jot about what I have already composed, my attention has been drawn by a good friend of mine. I am having this list copied or printed here and inserted in a newspaper, so that all those who have already bought the sonata may obtain a copy of the list--And that reminds me of the confirmation of my experience that the most correct engravings have been made of those compositions of mine which were written out in own handwriting--No doubt you will find several mistakes in the copy which you possess. For when he *looks over his own work* the composer really *does overlook* the mistakes.[45]

Soon thereafter, Beethoven sent Breitkopf and Härtel an extensive list of corrections relating to Opus 69.[46] The misprint list was never published but is, however, preserved in the Beethoven-Haus in Bonn as part of the Bodmer collection. A comparison of the misprint list with the earliest editions offers considerable insight into Beethoven as proofreader and displays something of his method of proofreading, as well. Scrutiny of the earliest editions does reveal certain errors which Beethoven did *not* include in his list, but Lockwood notes that,

> These serve only to reinforce his explicit recognition of his own limits as an editorial consultant for his works. Since he must have been deeply engaged in far more significant problems, the task of correcting his publisher's mistakes some three months after the edition had appeared must have been even more distasteful than it would have been prior to publication.[47]

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[45] Beethoven is punning on the verb "übersehen" which can mean "look over" or "check," and "overlook." Anderson, Letter no. 220.

[46] Anderson, Letter no. 221.

[47] Lockwood, *Music Forum*, 37.

That Beethoven's efforts proved to be futile is shown by the fact that Breitkopf and Härtel did hardly anything about the errors he pointed out. Lockwood has studied two complete copies of the second issue of the first edition and reports that only one copy shows any corrections at all, and covers only two of the twenty-three errors listed by Beethoven.[48]

Hermeneutic Interpretations of Opus 69

An extremely colorful and picturesque interpretation of Opus 69 is offered by the Dutch 'cellist Pieter Wispelwey:

> The *third sonata* is the 'pastoral' of the five sonatas. In the morning of the exposition the 'cello sounds like a horn in the great wide open. In the second theme the triads, languidly falling and the scales calmly rising like wisps of smoke create the atmosphere of a siesta; the rattle of accompanying left-hand figures in the piano part evokes images of a coach ride, and in the fortissimo passages of the development section mountain tops, glaciers and abysses emerge.[49]

While this Romanticized description may paint many glorious pastoral images, the fact remains that some listeners will not share Wispelwey's personal interpretation. A more plausible reading may be suggested.

One common characteristic in many of Beethoven's works is the element of dialogue between the principal voices, a characteristic which is also prevalent in the five sonatas for fortepiano and 'cello. With the possible exception of the *Adagio* of the Sonata in D major (Opus 102, no. 2), none is as clearly conversational as the first movement of the Sonata in A major, Opus 69.

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[48] Lockwood, *Music Forum*, 37.

[49] Pieter Wispelwey, 'cellist, *Beethoven: The Complete Sonatas for Pianoforte and Cello.* (Channel Classics CC53592, 1992), 4-5.

The first movement opens with a simple and noble statement by the 'cello in a low register. The motive resembles Cooke's archetype of a melodic line ascending to the sixth as representing "innocence and purity, and affirmation of maximum joy."[50] This lyrical statement proves to be the topic of the fascinating conversation that follows, as the two instruments discuss and debate the issue at hand. Just what the issue *is* may possibly be less important than the manner in which it is discussed and the relationship of the personalities that emerge during the discussion. For example, it is not accidental that the 'cello introduces the topic; throughout the movement, the 'cello never states the entire primary theme in unison with the fortepiano until the very end, and also seems to function as a calming influence after each unsettled episode. These facts lead to the conclusion that the persona of the 'cello is perhaps the predominant or governing member of the conversation.

After the dual presentation of the first topic (1P) in measures 1-24, the fortepiano and 'cello brusquely interject a varied form of the theme, in the parallel minor, and further agitated by off-beat *sforzati* (measure 25). The agitation intensifies as the fortepiano reaches the higher register and the secondary theme (S) approaches. The S theme (measure 38) consists of two elements: the fortepiano provides a calm statement (derived from the first measure) while the 'cello pursues a lyrical and tuneful counter-melody that seems almost to embrace the secondary theme. The falling triad of the fortepiano's S motive could be compared to Cooke's description of

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[50] Deryck Cooke, *The Language of Music* (Oxford: Oxford University Press, 1991), 151-156.

"experiencing joy passively; accepting, welcoming blessings, relief, consolation, reassurance, together with a feeling of 'having come home.'"[51] The tranquil and consoling atmosphere continues as the voices exchange parts and the S theme ends.

In contrast to the delicacy of the S area, the closing material (beginning in measure 65) presents an image of confidence and determination that is heightened by the *pizzicato* in the 'cello. The K theme fits Cooke's description of the rising third as "outgoing, active, assertive emotion of joy; triumph and aspiration."[52] The parts are exchanged and the confidence intensifies as the 'cello takes over the lyrical melody in the lowest register. A moment of doubt occurs, however, in measure 79, as the two voices quietly alternate with ascending and descending scales. That moment passes and the confidence returns *fortissimo*. As the exposition winds down, the lyrical interchange of the S theme is recalled in measure 89.

The mood of the discussion begins to change in the development, and at measure 115, a violent argument ensues. The hostility of the passage is reinforced by the tonality of C$^{\#}$ minor. The brutality of the conflict is somewhat reminiscent of the finale of the *Moonlight Sonata* (another work in Beethoven's "tragic" key, C$^{\#}$ minor.) The controversy ebbs momentarily, then escalates again, before finally being resolved by a calm exchange of statements derived from the opening measures.

As the recapitulation begins, the 'cello restates the original topic while the fortepiano joyfully pursues triplet scale patterns that emulate the

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[51] Cooke, 130.

[52] Cooke, 115.

entwining and embracing atmosphere of the S material. The sense of triumph and arrival in the recapitulation typifies Beethoven's utilization of the recapitulation as a statement of victory. At the coda the two voices finally reach a state of total agreement as they restate, calmly and in unison, the opening measures, transforming the opening phrase into more of a mutual vow than a simple statement.

For the second movement, Beethoven employs the form Scherzo with Trio, and shifts the tonality to A minor. The minor tonality creates an air of mystery, which is supported by the ascending minor scale of the opening motive. This theme begins on the fifth, passes through the tonic and comes to rest on the third, resembling Cooke's archetype of "pure tragedy, a strong feeling of courage, in that it boldly acknowledges the existence of tragedy and springs onward (upward) into the thick of it."[53] The descending minor scale in the final statement of the theme in measures 5-8 also fits Cooke's description of "acceptance of, or yielding to grief."[54] What is peculiar in this movement, however, is that the affect of the "tragedy" and "grief" in the motivic activity and the mystery of the minor key are alleviated by the somewhat ludicrous offset rhythmic accents employed intermittently throughout the movement. The facetiousness escalates in the Trio section when the lilting and lyrical A major melody is countered with a slow, written-out trill in the bass registers of both the fortepiano and the 'cello. As the Trio nears its end, Beethoven challenges the dexterity of the 'cellist with a

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[53] Cooke, 125.

[54] Cooke, 125.

full nineteen measures of the cumbersome trill, a passage which must certainly have frustrated many of the amateur Viennese 'cellists. As the trill slows down and becomes a simple repetitious interval of a major second, the gesture transforms gracefully and fluently into the offset rhythmic pattern of the minor scherzo melody. The offset accent is maintained to the end of the movement, when the two instruments quietly and evasively "tiptoe" toward the final cadence, "catching up" with each other at last just three measures before the end. The highly specific fingering supplied by Beethoven for the fortepiano is an important element of the closing passage and will be discussed later in this chapter.

For the finale Beethoven employs a structure used in all but one of the five 'cello sonatas, a slow introductory section leading into an *Allegro* movement. In this finale, the expressive *Adagio cantabile* introduction is in the key of E major. As the melody is exchanged between the instruments, an atmosphere of agreement and conciliation pervades. The elegant and tranquil melody continues for a period of eighteen measures, and pauses on E^7, the dominant of the sonata, with a quasi-cadenza in the 'cello. The function of this *Adagio* is to provide contrast to the work by contributing a change of mood, tempo, and tonality, as well as thematic material that does not appear to have any significant thematic resemblance to the other movements. The pace and vitality of the second and third movements is substantially suspended by the presence of the sedate introduction.

The *Allegro vivace* enters quietly and quickly reaffirms the A major tonality with an opening chord progression of I-V-I. The descending major scale bears some resemblance to Cooke's archetype of experiencing joy

passively; accepting, welcoming blessings, relief, consolation, reassurance, together with a feeling of "having come home."[55] The confidence in this melodic line pervades the entire movement, and is only interrupted momentarily by the quizzical secondary theme introduced by the 'cello. The inquisitive nature of this theme is eventually reconciled by the entry of the forceful scales of the closing material. The development section also undermines the overall positive atmosphere of the movement by beginning in the parallel minor. The insecurity of the minor mode is soon defeated by a cheerful melodic passage that seems to be a new theme, posited above the confident scales of the closing section, just prior to the recapitulation. The descending major scale of this new theme introduces a mood of joyous celebration and is perhaps the most brilliant moment in the movement.

A rather poignant but somewhat confusing message was conveyed by Beethoven in a comment written on the manuscript of Opus 69. Thomas Scherman describes that inscription:

> It might be thought that Beethoven had conceived it [Opus 69] in one of his rare moments of felicity. Instead we read these words in the manuscript: *Inter lacrimas et luctum* (In the midst of tears and sorrow).[56]

An explanation of this enigmatic inscription may perhaps be linked to the status of Beethoven's relationship with Countess Josephine Deym, (née von Brunsvik) in 1808. Beethoven first made the acquaintance of the young countess in 1799, and following the death of her husband, Count Deym, in

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[55] Cooke, 167.

[56] Thomas K. Scherman, *The Beethoven Companion*, edited by Thomas K. Scherman and Louis Biancolli, (Garden City, New York: Doubleday & Company, 1972), 694.

1804, the composer became a frequent visitor to Josephine's home. An intense relationship soon developed between them, the nature of which is revealed in the thirteen letters written to her by Beethoven between 1804 and 1807. The most intense period of the relationship was at the end of 1804, when Beethoven was composing his only opera, *Leonore*, a paean to the virtuous wife and to "married love." The relationship came to a bitter end in the autumn of 1807, "with rueful scenes and misunderstandings, and with Beethoven still asking for closer contact than Josephine was prepared to concede."[57] In the last three letters to Josephine, dated autumn 1807, the sense of sorrow is palpable. First Beethoven writes, "If you fancy that I am enjoying an excessive amount of entertainment, you are mistaken."[58] In the second letter he avows, "Since I must almost fear that you no longer *allow yourself to be found* by me -- and since I do not care to put up with the refusals of your servant any longer--well then, I cannot come to you any more."[59] In his final communication to Josephine, Beethoven states, "You want me to tell you how I am. A more difficult question could not be put to me--and I prefer to leave it unanswered, rather than--to answer it *too truthfully*."[60] It is highly likely that the emotional wounds inflicted on Beethoven by the final demise of this relationship in 1807 would carry over into 1808, and may explain the "tears and sorrow" Beethoven was experiencing while composing Opus 69.

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[57] Kerman-Tyson, 40.

[58] Anderson, Letter no. 153.

[59] Anderson, Letter no. 154.

[60] Anderson, Letter no. 156.

The dialogue of Opus 69 demonstrates an assortment of emotions, spanning a wide range, from a state of innocent joy to vehement wrath, from facetious jesting to joyful confidence and the comfort of sweet consolation, while touching upon others along the way. The one common thread in all the varied emotions displayed in this work is an element so innately Beethoven, both personally and artistically, that it could perhaps be deemed his trademark: that element is passion.

Structural Analysis of Opus 69

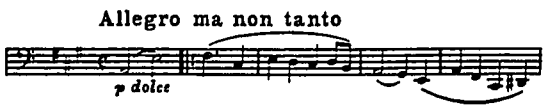
First Movement

Form: Sonata Allegro
Exposition: measures 1-94
Development: measures 95-151
Recapitulation: measures 152-231
Coda: measures 232-279

Exposition: A major *Allegro ma non tanto*

Primary Theme Area: Measures 1-24. The opening 24 bars of the movement illustrate nearly every motive, melodic as well as rhythmic, that will appear in the entire work. For instance, the lyrical opening theme in the first five measures (see example 1), consists of five distinctly different rhythmic configurations that will reappear, either in combination or as separate units, throughout the movement (see example 2).

Example 1: Opus 69/I, mm. 1-5

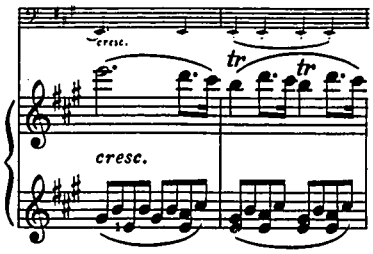


Example 2: Opus 69/I

1.
2.
3.
4.
5.

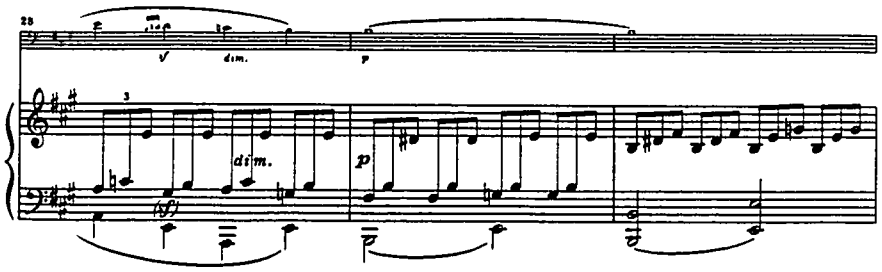
The melodic content of P will also reappear throughout the movement, again either in combination or as separate units. Furthermore, the simple cadential gesture in measures 10-11 (see example 3), is derived from measure 3, and also becomes important in the thematic expansion of the development.

Example 3: Opus 69/I, mm. 10-11



Transition: Measures 25-37. Use of the P theme as transitional material ($1T^P$) is intensified through the use of off-beat *sforzati* over triplets in the bass (see example 4). The new theme merges with the next transitional material (2T) at measure 31, and as the fortepiano reiterates the triplet passages from $1T^P$, the 'cello recalls the half-step interval derived from measures 5-6. The harmonic direction moves toward the parallel minor key of E, giving emphasis to the tonality of E major as the secondary theme enters.

Example 4: Opus 69/I, mm. 25-27



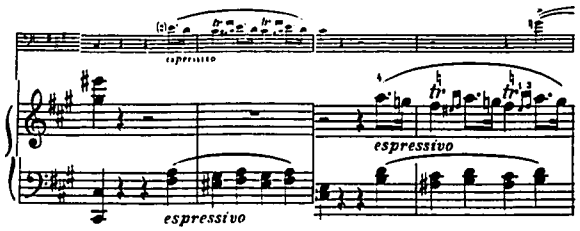
Secondary Area: Measures 38-50. The first two measures of the lyrical secondary theme (S) are derived rhythmically from measures 1-2, and with the added third, melodically from measure 1. The use of suspensions in measures 41, 45, 48, and 49 (and the corresponding measures in the repetition of the theme) effectively enrich the melody.

Closing Area: Measures 65-94b. The first theme of the closing section (1K) enters *subito forte* and dislodges the dreamy atmosphere of the second theme, creating a feeling of excitement. The dotted rhythm and trills are derived from measures 10-11 of P. The triplet arpeggiations recall measures 25-26 of $1T^{P}$. The intensity heightens as the 'cello repeats the six-measure theme on the lowest string while the fortepiano modifies the Alberti bass accompaniment in sixteenth-note broken chords. The remaining material of the closing section (3K) exemplifies the thematic unity of the movement. The trills in measures 87-88 restate the interval of a fifth in measure 1, and the quarter-note scale in measure 89 melodically recalls measure 3 of the opening.

Development

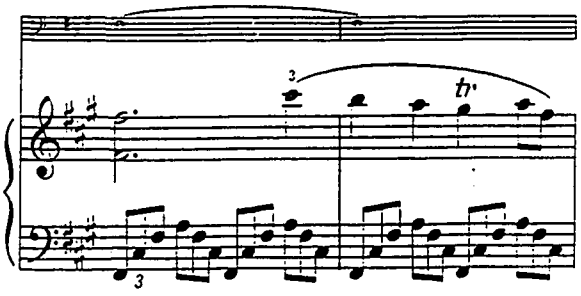
Section 1: Measures 95-106. The development begins quietly in C# minor with material derived melodically and rhythmically from measure 1, leading into a passage derived from the half-step interval of measures 5-6, stated in contrary motion by the two instruments. The cadential material from measures 10-11 reappears and is imitated sequentially by the voices (see example 5). The G-natural in measure 105 was prepared in measure 104, and creates a Neapolitan chord which enriches the cadence on F# minor (measure 107).

Example 5: Opus 69/I, mm. 101-104



Section 2: Measures 107-126. Material, both rhythmic and melodic, derived from measures 2-4 of the opening theme appears in dialogue fashion and is accompanied by an arpeggiated triplet pattern in the bass (see example 6). The phrase leads to a sudden *fortissimo* cadence on E minor in measure 115. The tension continues to escalate as the sixteenth-note figurations climb to a higher register and arrive at a cadence at measure 127 in C# minor.

Example 6: Opus 69/I, mm. 107-108



Section 3: Measures 127-139. The 'cello restates example 6 with an imitation in the fortepiano in a high register. A variation of measures 10-11 appears in measures 137-139, altered rhythmically, and leading to a *pianissimo* restatement of the opening measures expanded to half-notes, first in F# minor, next in D major.

Recapitulation

Measures 152-231. The lyrical opening theme returns, stated in the 'cello. Eighth-note triplets in the fortepiano accompaniment recall the lyrical and soothing accompaniment to secondary theme S. The fortepiano's delicate and delightful descending scale passage suggests a mood of rapprochement or reconciliation between the two instruments. Transitional theme T/P is once again stated in A minor, followed by 2T. Secondary theme S and closing material return as expected in the tonic, A major.

Coda

Part 1: Measures 232-239. For the first time in the entire movement, the opening measures are stated in unison by both instruments, after which measures 3-4 are treated imitatively.

Part 2: Measures 240-252. Material from measure 3 is repeated sequentially and varied harmonically for four measures, then further developed through repetition and in diminution, over inversions of the subdominant and tonic chords in the parallel minor key of A.

Part 3: Measures 253-281. The opening six measures are stated *sempre fortissimo* in five voices, in octaves, and leading to a sudden *pianissimo* restatement of measures 5-6. Since the A major tonality had been threatened in the previous measures, the marking *sempre fortissimo* assists in the re-establishment of the tonic. To the very end of the movement, fragments of the opening measures appear, some as exact replicas, and some altered rhythmically. The thematic unity of the entire movement is so masterfully executed as to suggest that the work may even be considered to be monothematic.

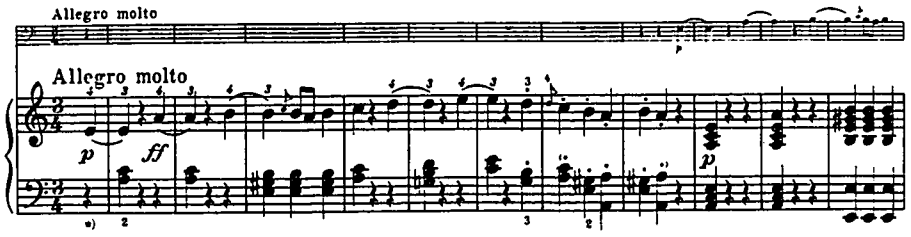
Second Movement
Form: Scherzo, (ABABA)
Section A: measures 1-109
Section B (Trio): measures 112-196
Section A: measures 197-305
Section B (Trio): measures 306-392
Section A: measures 393-504
Coda: measures 505-519

Allegro molto: A minor

Section A

Measures 1-29. Section A begins with material recalling the intervals of a fifth and a sixth from the opening measures of the first movement, now altered rhythmically and intensified through syncopation, the use of acciaccaturas, and the rising span of an octave (see example 7).

Example 7: Opus 69/II, mm. 1-11



After the theme is repeated an octave lower in the 'cello, elements of the theme are treated with imitation and sequence, and the harmony is expanded by passing through the tonalities of D major, A minor, and E minor. It is interesting to note the 4-3 fingering supplied by Beethoven for the repeated-note ties of the opening measures, and elsewhere in the movement.[61] The question of how such repeated-note slurs should be played is discussed by William S. Newman in *Beethoven On Beethoven.* Newman feels that the repeated-note ties represent a flow from strong to weak:

> In the repeated-note slurs, that flow may be thought of as a process of initiation and release that occurs virtually in one motion, almost as if produced by one bow or one breath. That is, it may be though of as holding the first of the two notes right into the second, and playing the second only as an audible, but barely audible, release.[62]

Paul Badura-Skoda elaborates on the correct manner of playing Opus 69:

> The slurs in the right hand and the fingering over them mean something quite unusual. The second, or slurred, note is to be

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[61] Beethoven's fingering of 4-3 over repeated-note ties occurs on occasion in his fortepiano music; other notable examples are the first movement of the Fortepiano Sonata, Opus 28, the Bagatelle, *Für Elise,* WoO 59, and the third movement of the Fortepiano Sonata, Opus 110.

[62] William S. Newman, *Beethoven On Beethoven: Playing His Piano Music His Way* (New York: W. W. Norton & Co., 1988), 297.

> sounded again, by the third finger, . . . [play] the first note (with the fourth finger) very *tenuto* and the other (with the third finger) crisply staccato and less prominently. And so on. Thus, the fourth finger must play and then make way for the third.[63]

Concerning Beethoven's fingering, Thomas Scherman notes:

> Beethoven took great pains to play up the syncopation of these two phrases by prescribing a change of finger on each tied note. Whenever Beethoven took pains to write his own fingering for passages in his piano sonatas, chamber music, or concertos, it was for a very special effect![64]

Czerny's explanation for the repeated-note slurs is as follows:

> The ties in the right hand and the fingering placed over them, here signify something wholly peculiar. Thus, the second note is repeated in an audible manner with the third finger.[65]

Another interesting, although subtle, feature exists in the opening of the Scherzo. In the first edition of the sonata, the Scherzo appeared with the unusual marking of *p* on the upbeat to measure 1 and an *ff* on the third beat of measure 1. Beethoven's first correction noted on the misprint list was to remove the *ff* at measure 1 and at the returns, (measures 197 and 393). By the next day he had changed his mind and requested that the *ff* be restored in all these places. Lockwood states: "However improbable the *ff* reading may seem, it represents his apparent last intention."[66]

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63 Paul Badura-Skoda, *Carl Czerny, Über den richtigen Vortrag der sämtlichen Beethoven'schen Klavierwerke* (Vienna: Universal, 1963), 82, cited in Newman, 298.

64 Scherman, 694, n. 1.

65 Carl Czerny, *On the Proper Performance of All Beethoven's Works for the Piano* (London, 1846; facsimile, ed. Paul Badura-Skoda, Vienna: Universal, 1970), 88.

66 Lockwood, *Music Forum*, 38.

Measures 30-55. The opening interval is inverted and expanded by the minor sixth, creating a legato motive.

Measures 56-81. The four-measure opening phrase returns in the key of C major, the relative major. The eighth-note gesture from measure 3 is repeated in imitation and sequence, while preparing for the return to A minor by emphasizing the dominant note E in measures 78-81.

Measures 81-109. The opening theme returns in the tonic key, A minor, now accompanied by an Alberti bass in the fortepiano. The ostinato figure in measures 105-109 serves as a transition to the Trio.

Section B: Trio

Measures 110-196. As the two-note ostinato continues, the lyrical theme of the Trio enters in the parallel key of A major, the tonic key of the entire sonata. The ostinato provides rhythmic contrast and activity to the lilting melody in the 'cello. The theme is altered rhythmically and repeated, as the accompanying ostinato is filled-in with a continuous flow of eighth notes.

Measures 197-504. Sections A, B, and A are repeated verbatim from the opening. It is most likely that Beethoven had these sections printed rather than using repeats and D.S. signs to prevent performers from shortening the movement by eliminating repeats.

Coda

Measures 505-519. The coda begins with the repeated note E figure from measures 79-81, now an octave lower. With *pizzicato* in the 'cello, the instruments outline the opening theme softly, and the motion is suspended momentarily by the repeated note E before the resolution on the tonic tone A.

Third Movement
Form: Sonata-Allegro
Introduction: measures 1-18
Exposition: measures 19-76b
Development: measures 77-111
Recapitulation: measures 112-172
Coda: measures 173-220

Introduction: *Adagio cantabile* E major

Measures 1-18. The eighteen measures of the introduction contain new thematic material which does not appear to have any significant resemblance to the other movements. The *Adagio* functions as a contrast in mood, tempo, and tonality in a work of three *Allegro* movements. The stately melody is introduced by the fortepiano, accompanied by an Alberti bass figure. This is quietly joined by a counter-melody in the 'cello.

Exposition: *Allegro vivace* A major

Principal Theme Area: Measures 19-34. Theme P enters softly in the 'cello. The melody bears some resemblance to the opening of the first movement. Szabo suggests that the first two measures represent a source motive employed by Beethoven in other works, most notably in the first theme of the Fortepiano Sonata Opus 78.[67]

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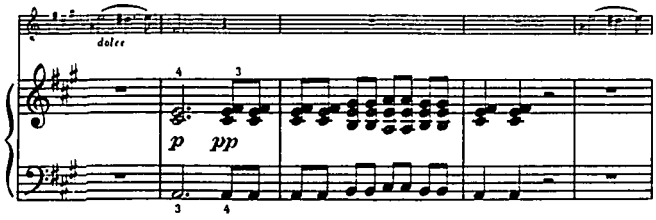
[67] Edward J. Szabo, "The Violoncello-Piano Sonatas of Ludwig van Beethoven" (Ph.D. diss., Columbia University, 1966), 76.

Transition Area: Measures 34-45. The transition is made up of rapid sixteenth-note scale passages, exchanged between the voices, over blocked chords, and leading to a staccato arpeggiated chord on the dominant.

Secondary Theme Area: Measures 46-60. The short secondary theme (S) appears in the 'cello, at first appearing only as a motivic fragment (see example 8). Blocked eighth-note chords accompany the fragment. The motive grows into a broad lyric theme and appears in the fortepiano while the 'cello offers a lyrical counter-melody.

Example 8: Opus 69/III, mm. 46-50



Closing Area: Measures 61-76b. The closing theme is derived from the transitional material, featuring rapid E major scales exchanged between instruments, reaching a climax at measure 71.

Development

Measures 77-89. Beginning in A minor, the key of the second movement, the development repeats the two opening measures of this *Allegro*, intensified and in sequence. The episode is held together by the dominant pedal tone G, moving upward to the climax in C major.

Measures 89-103. Elements from the S theme and the closing material appear and are treated with imitation, sequence, and stretto. Rapid scales

derived from the closing area are countered by seemingly new melodic material in the 'cello in measures 90-93. The new melody is actually transitional material that serves to move the tonality to the point of furthest remove, the key of C major. The new material is taken up by the fortepiano, and the intensity builds to the cadence on G seventh in measures 100-103.

Measures 104-111. Since the tonality has so firmly been established on C major in measures 100-103, the ensuing eight measures (104-111) act as a transitional passage preparing the tonality for the recapitulation. Utilizing the first measure of the principal theme, the fortepiano swiftly destroys the C major key center by entering on the note E^{b} and chromatically shifting the melodic fragment upwards. The 'cello line also works to reestablish the tonic key by moving chromatically from G natural to A flat, to A natural, then to B.

Recapitulation

Measures 112-172. The recapitulation is essentially an exact restatement of the exposition, however now with theme S and the closing material in the expected tonic key. At measure 167 material derived from the final two measures of the closing theme (measures 73-74) are developed and overlap into the coda.

Coda

Measures 173-194. Material from the principal theme is developed over a counter-melody derived from measures 31-33 in the 'cello. In measures 190 to 195 the fortepiano states a counter-melody in a high register, adding octave grace-notes derived from the fragment of theme S.

Measures 195-206. Material from the previous counter-melody and the principal theme are combined in the fortepiano, while the 'cello introduces a new counter-melody derived from measure 121-123. A long *crescendo* which climaxes at measure 207 heightens the intensity.

Measures 207-220. The *fortissimo* principal theme is repeated and exchanged between voices in sequential imitation, followed by a long *diminuendo* which reaches the low dynamic point at measure 215.

CHAPTER FOUR

The 'Cello Sonatas, Opus 102

Beethoven's Situation in 1815

By 1815, the time of the composition of Opus 102, Beethoven's accomplishments had been monumental, even by the standards of the Vienna of Haydn and Mozart. His creative output had evolved through what are commonly described as at least two distinct stylistic periods marked by continuous exploitation of high classic style. His inner life, however, seems to have been irrevocably changed after the devastating summer of 1812. A review of pivotal events which occurred between 1812 and 1815 offers some insight into Beethoven's situation at the time of composing the last two 'Cello Sonatas, Opus 102.

In the summer of 1812 one of the most serious romantic involvements of Beethoven's entire life ended in dismal failure, and there followed an extended period of emotional turmoil and depression for the composer. We know from reports of his conversations from 1816 that the love affair continued to affect him deeply. The woman associated with this emotional collapse is referred to as the "Immortal Beloved" (a name given to her by Beethoven in a letter of July 6-7, 1812). Her identity, while vigorously debated by many scholars, has not been conclusively resolved.

Entries in Beethoven's diary (the "Tagebuch") provide clear evidence as to his wounded state of mind at the time. In 1812 he wrote: "for you there is no longer any happiness except within yourself, in your art." In May 1813: "O terrible circumstances, which do not suppress my longing for domesticity,

but [prevent] its realisation. O God, God, look down upon the unhappy B., do not let it continue like this any longer."[1] Similarly, his emotional stress is revealed in letters to friends, such as his letter of late December 1812 to Archduke Rudolph: "Since Sunday I have been ailing, although mentally, it is true, more than physically."[2] And a month later: "As for my health, it is pretty much the same, the more so as moral causes are affecting it and these apparently are not very speedily removed."[3]

During the summer of 1813 Beethoven took up residence at the Sauerhof in Baden and was found there by his old friends Johann and Nanette Streicher "in the most deplorable condition with reference to his personal and domestic comforts. He had neither a decent coat nor a whole shirt, and I must forebear to describe his condition as it really was."[4] The artist Blasius Höfel observed that Beethoven had "grown so negligent of his person as to appear . . . sometimes positively *'schmützig'* [dirty]."[5]

It has even been suggested that Beethoven may have made an attempt on his own life that summer. While visiting the country home of his close friend, Countess Marie Erdödy, the composer disappeared for three full days,

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[1] Maynard Solomon, "Beethoven's Tagebuch," *Beethoven Essays* (Cambridge, Mass.: Harvard University Press, 1988), 246-247.

[2] Emily Anderson, trans. and ed., *The Letters of Beethoven*, 3 vol. (London: MacMillan, 1961), Letter no. 394. Hereafter: Anderson, Letter no. 0.

[3] Anderson, Letter no. 402.

[4] Maynard Solomon, *Beethoven* (New York: Schirmer Books, 1977), 221.

[5] Elliot Forbes, ed., *Thayer's Life of Beethoven* (Princeton, New Jersey: Princeton University Press, 1973), 590.

and was finally discovered in a distant part of the palace gardens. It was suspected by Beethoven's close friends that "it had been the purpose of the unhappy man to starve himself to death."[6]

Whether this anecdote is true or not, enough evidence does exist to attest to the wretched mental and physical condition of the composer at this time. Beethoven had fallen into such a state of mental and physical disorder that his musical output was virtually brought to a halt. He had essentially abandoned composition and only the intervention of the Streichers gradually "induced him again to mingle in society. . . after he had almost completely withdrawn himself from it."[7]

During this period of emotional turmoil and artistic fallowness, Beethoven was approached by Johann Nepomuk Mälzel, entrepreneur and inventor, with the idea of producing a new composition celebrating the British victory over Napoleon at Vittoria in June, 1813. This project, *Wellington's Victory*, not only rekindled Beethoven's creativity, but also resulted in a work that proved to be remarkably successful because of the patriotic feelings of the Viennese at the moment. Buoyed by this success, Beethoven's spirits lifted and he began to emerge from his silence and resume composing. His output for the following months, however, while relatively prolific, proved to be rather trivial and insignificant public works which have virtually disappeared from the repertory.[8]

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[6] Solomon, 220.

[7] Solomon, 220.

[8] Solomon, 222-223.

Following the triumph of *Wellington's Victory*, Beethoven was approached by a constituency from the Kärthnerthor-Theater with the proposal of reviving his twice-failed opera *Fidelio*. The timing of this project proved to be equally as propitious as his collaboration with Mälzel the previous year. With its overtly political overtones, *Fidelio* was, in 1814, readily interpreted as a celebration of victory over Napoleon's forces, and the opera was performed repeatedly during the summer, when numerous foreign dignitaries assembled in preparation for the Congress of Vienna. The opera opened on May 23, 1814, and subsequent performances took place on May 26, June 2, 4, 7, and 21, 1814.[9] Ironically, while it was *Fidelio's* subject of revolt over political subjugation that captured the imagination of the Viennese, it is possible that, because the process of mourning for his beloved was not yet complete, it was the opera's additional topic, the blessings of conjugal love, that recaptured Beethoven's interest.

The overflowing patriotic atmosphere inspired by the convening of the Congress in 1814, coupled with the nationalistic overtones of *Fidelio* and *Wellington's Victory*, caused Beethoven to be thrust abruptly to a level of national popularity which he had never previously attained. Vienna's infatuation with Beethoven also proved to be financially beneficial to him. In his entire lifetime, he was able to give only eleven public concerts in Vienna for his own benefit, and nearly one half of these took place during the year 1814.[10] However, because this popularity was more or less founded

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[9] Thayer-Forbes, 583.

[10] Thayer-Forbes, 223.

upon an artificial and atypical aspect of Beethoven's genius, it soon proved to be evanescent, and the Viennese interest in Beethoven began to decline at the end of 1814. In December, at a concert for his benefit, nearly half the seats were empty, and a third concert proposed for December was completely abandoned.

Coinciding with Beethoven's psychological instability during the 1813-1815 period, there existed another element which also contributed to his creative impasse. The disintegration of the aristocracy, and the beginning of a new phase in Austrian nationalism were both by-products of the Revolution, and generated among the masses a fondness for music of a less significant nature. The activities of the Congress involved far more than strictly politics; waltzing at the many masked balls and lavish parties occupied the Viennese and visiting dignitaries almost as much as political negotiations.[11] Beethoven was faced with a new situation with regards to the quality of his compositions. As the heroic, exhortatory style of the Napoleonic Era lost its prominence and the excitement of the Congress waned, the Viennese public began thronging to performances of Rossini's operas; Beethoven disparaged the new Italian style as being music which "suits the frivolous and sensuous spirit of the times."[12]

Consequently, while Beethoven was struggling to gain control over the feelings of devastation and despair occasioned by his love for the Immortal Beloved, he was simultaneously experiencing the dissolution of

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[11] Susan Mary Alsop, *The Congress Dances* (New York: Harper and Row, 1984), 126-127.

[12] Thayer-Forbes, 804.

his enormously successful "heroic" phase in musical creativity. He observed new directions in the music surrounding him and began the process of reshaping his creative approach to his favorite musical topics: heroism, tragedy, and transcendence. A new approach, in Maynard Solomon's words, to "the portrayal of heroism without heroics, without heroes."[13]

The new style would only slowly emerge. Chronically ill, fast becoming clinically deaf, and desperately fighting to regain his psychological equilibrium, he proceeded to synthesize and reconcile the depths of his pain and the mature spirit of his genius with the input of a changing world, moving slowly into the style of his last period.

From Heroic to Transcendental

It is probably not coincidental that each of Beethoven's stylistic shifts can be seen, in retrospect, to coincide with a severe emotional crisis in his life. What is traditionally referred to as his "first period" is generally believed to have ended around 1802, the year of the famous Heiligenstadt Testament, the document in which he painfully acknowledged the grave inevitability of his deafness and rejected thoughts of suicide for the sake of his dedication to art. Just as his "heroic" second period followed the emotionally devastating summer of the Testament, the so-called "transcendental" third period is generally believed to have begun in 1813, following the shattering events of 1812. The paucity of his output between 1813 and 1818, however, sadly attests to the profound emotional damage that came to a peak in 1812. Apart from the topical public pieces composed during the Congress, only a small body of

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[13] Solomon, 230.

notable works emerged during 1814 and 1815: the Fortepiano Sonata, Opus 90, and the 'Cello Sonatas, Opus 102, no. 1 and no. 2. While these works clearly draw upon forms and standards already developed and fully perfected in previous years, they also contain forecasts of what lay ahead for Beethoven.

Beethoven's late style did not represent a complete abandonment of Classical period structures. The new style emerged as an embodiment of the same essential principles, but imbued with a greater freedom, a freedom that allowed excursions into "more flexible musical structures and new tonal trajectories by means of a partial restoration of some of the Baroque and pre-Baroque techniques, forms, and procedures which had been overthrown by Classicism."[14] As Grout and Palisca note, the Classic forms remained "as the former features of a landscape remain after a geological upheaval--recognizable here and there under new contours, lying at strange angles underneath the new surface."[15]

One of the most salient elements of Beethoven's late style is his increased focus on lyricism, as well as a new intimacy and delicacy within the melodies. He also showed an expanded interest in folk-like melody. Over one hundred fifty folksongs were arranged for the British publisher Thomson during the late period.[16] Recurrent examples of folksong and folkdance

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[14] Solomon, 295.

[15] Donald J. Grout and Claude Palisca, *A History of Western Music*, Fourth Edition, (New York, London: W.W. Norton & Co., 1988), p. 645.

[16] Joseph Kerman and Alan Tyson, *The New Grove Beethoven* (New York: W. W. Norton & Co. 1988), 122.

melodies are found in many of the late quartets, such as the Finale of the E^{b} major Quartet, Opus 127, and the second movement trio of the A minor Quartet, Opus 131.[17]

In his last decade Beethoven also seemed to be searching for a new level of human communication through the use of basic song, and adopted vocal forms such as recitative and arioso to instrumental purposes. Beethoven's yielding to the vocal impulse is described by Solomon as, "not only lyricism, but rhetoric, declamation, and recitative as well: speech and song together press to fulfill Beethoven's drive toward immediacy of communication."[18] A memorable example is the famous *beklemmt* (constricted) passage in the Cavatina of the Quartet in B^{b}, Opus 130, where "instrumental music seems painfully to strive for articulate communication."[19] This work also embodies other late period tendencies that Kerman refers to as dissociation and integration:

> The sense of affect is constantly elusive in the B^{b} Quartet; a mercurial, brilliant, paradoxical work, toying with the dissociation of its own sensibility and toying with the listener's limping powers of prediction. Force jostles with whimsy, prayer with effrontery, dangerous innocence with an even more dangerous sophistication.[20]

The above attributes could also be applied to the Quartet in C$^{\#}$ minor, Opus 131, with its immense contrasts between movements, its folk-like melodies,

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[17] Kerman, 252.

[18] Solomon, 296.

[19] Kerman-Tyson, 122.

[20] Kerman, 304.

and the remarkable set of variations. These variations represent a new type which occurs in the late works: variations in which the themes seem to be transformed rather than merely varied.[21] The Fortepiano Sonata in E major, Opus 109, and the *Diabelli Variations*, Opus 120, also exhibit the new type of variation in which "the members take a much more individual and profoundly reinterpreted view of the original theme."[22]

Late Beethoven is also occasionally distinguished by the quotation or reference to polyphonic textures and church modes of the sixteenth century.[23] While working on the *Missa solemnis* (1818-1822) he scoured the Lobkowitz Palace library for old treatises on music and studied writings by the Renaissance theorists Heinrich Glarean [Glareanus] (1488-1563) and Gioseffo Zarlino (1517-1590).[24] It may have been Zarlino's *Istitutioni harmoniche* (1558) that prompted Beethoven to note down: "the Lydian mode is most suited to tragedies and songs that can move the soul and draw it out of itself."[25] The most prominent results of his third-period interest in modes are found in the Credo of the *Missa solemnis*, where the "chaste" Dorian mode was employed to allude to the mystery of the Immaculate Conception, and also the *Molto adagio* movement of the String Quartet in A minor,

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[21] Kerman-Tyson, 124.

[22] Kerman-Tyson, 124.

[23] Kerman-Tyson, 125.

[24] Martin Cooper, *Beethoven: The Last Decade*, (Oxford, New York: Oxford University Press, 1985), 127.

[25] M. Cooper, 127.

Opus 132 (1825), where the Lydian mode is found to express a "Sacred song of thanksgiving of a convalescent to the Divinity in the Lydian mode."[26] The choice of Lydian in this instance must surely relate to Zarlino's comment: "the Lydian mode is a remedy for fatigue of the soul, and similarly for that of the body."[27]

Another retrospective feature of the late works is the concentrated exploration of counterpoint and imitative textures, as well as a serious interest in Bach and Handel. During the last decade of his life Beethoven turned with renewed interest to devices such as canon and fugue. In works from Beethoven's first two decades in Vienna he frequently utilized fugal elements and procedures in many works, such as the String Quartets, Opus 18, and the first Mass, Opus 85. He also introduced fugato sections, as in the "Funeral March" of the *Eroica* and the Allegretto of the Seventh Symphony. His more serious interest in fugal writing, however, did not come completely to the forefront until much later, at the dawning of his third period, with the finale of Opus 102, no. 2, the first of nine full-fledged fugal movements found in the late works. In Solomon's assessment, Beethoven experienced "a veritable contrapuntal obsession" during the last decade.[28] In the year following the composition of Opus 102, the Fortepiano Sonata, Opus 101 appeared with one hundred measures of fugue as the development section of the Finale.[29] In 1817 Beethoven began an arrangement for string

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[26] Warren Kirkendale, "New Roads to Old Ideas in Beethoven's *Missa solemnis*," *The Musical Quarterly*, 56 (1970), 175.

[27] Kirkendale, 175.

[28] Solomon, 299.

[29] Kerman, 270.

quartet of the B minor fugue from Bach's *Well-Tempered Clavier,* Book One[30], and also composed a small fugue in D major for string quintet, published in 1827 as Opus 137. The sketches for the conclusion of the Quintet are intermingled with quotations from Bach and others on the techniques of fugal writing.[31] While Beethoven's interests in fugue, variation, and lyricism personify the works of the late period, it is important to note that his real compositional concern was to integrate these elements into the matrix of the sonata style. His foremost priority remained "the presentation, development, and return of musical material within a finely controlled tonal field."[32]

In his newly released study of Beethoven, William Kinderman offers a succinct depiction of the composer's transition into his last creative period:

> By 1815 Beethoven had accomplished a further deepening in his art, fulfilling the intention expressed in the first *Tagebuch* entry three years earlier. His unproductive spell at the close of the "Immortal Beloved" affair had been left behind; the extravagant artistic misadventures of the Congress period were a closed chapter. His public popularity was now on the wane; the composer of the hour was Rossini. As complete deafness closed in on Beethoven, he approached his greatest artistic challenges. Slowly and deliberately he assembled the elements of an unprecedented stylistic synthesis, whereby nothing was lost and yet everything changed.[33]

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[30] Solomon, 300.

[31] Thayer-Forbes, 692.

[32] Kerman-Tyson, 126.

[33] William Kinderman, *Beethoven* (Oxford: Oxford University Press, 1995), 188.

Publication of Opus 102

The history of the publication of Opus 102 includes a curious saga. In 1813 Beethoven requested and received a loan, on behalf of his ailing brother Caspar Carl, from the Viennese publisher Anton Steiner. The terms of the loan stipulated that, in the event of default by his brother, Beethoven himself would make good on the debt. Part of the agreement mandated that Steiner would receive "a new unpublished pianoforte sonata (with or without accompanying instrument) as his property. . ."[34] Even as late as 1823 this debt had still not been retired, and the publisher finally began legal proceedings which were eventually resolved through Beethoven's borrowing against one of the eight bank shares he was able to buy because of his financial successes during the Congress of Vienna period.[35]

In 1815 and 1816, however, not wishing to forfeit the potential monetary profits of Opus 102 toward repayment of the debt, Beethoven was reluctant to offer any of his new creations to Steiner and had begun negotiating with several other publishers. In January 1816 Beethoven sent manuscript copies of Opus 102 to England with Charles Neate, British composer and fortepianist, with the expectation that Neate's connections with the Philharmonic Society of London would secure British publication to of the 'cello sonatas, as well as several other works. The manuscripts of Opus 102 which traveled to London bore a dedication to Neate. Due, however, to

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[34] Thayer-Forbes, 551.

[35] Thayer-Forbes, 838.

personal circumstances, Neate was unable to bring the anticipated publication to fulfillment and the proposed dedication was abandoned.[36]

Later in 1816 the same sonatas were submitted to the Bonn publisher Simrock with the admonition "not to let Messrs. Steiner and Hasslinger know that he had given someone else his compositions to publish."[37] This statement reveals the pressure Beethoven was feeling due to his indebtedness to Steiner. A further indication of the tension between the composer and the publisher can be seen by comparing certain letters from Beethoven to Steiner in 1815. In a letter written in September Beethoven indulges in a play on words relating Steiner's name to the German *Stein* (stone), as well as employing the droll military name with which he customarily addressed Steiner, "My most excellent Lieutenant General!" and also signed in his normal, affectionate manner, "The begging G[eneralissim]o."[38] Several letters from December 1815, however, display a decidedly less affectionate tone. In one letter Beethoven writes:

> My Dear Steiner,
> As soon as you send me the opera, which I require (I have told you why), you may have the parts of the symphony at any time -- I am doing this not *in accordance with the terms of our contract*[39]-- but

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[36] Thayer-Forbes, 639.

[37] Anton Felix Schindler, *Beethoven As I Knew Him*, edited by Donald W. MacArdle and translated by Constance Jolly (Chapel Hill: University of North Carolina Press, 1966), 257.

[38] Anderson, Letter no. 526.

[39] Italics are Beethoven's.

> out of kindness--*I never attempt to reply to insults* --.
>
> Your most devoted,
> Ludwig van Beethoven.
>
> For everything else, such as, *how* or why I have come by it, I am willing at any moment to be answerable.[40]

Apparently the exchange of the opera for the symphony did not materialize, for in a letter of the same month Beethoven writes,

> Here, my dear St[einer], I am letting you have the parts of the symphony in A. I was the first to suggest to Diabelli that you should engrave *the symphony from these parts.* Consequently those statements about it which you are hurling at me are completely wide of the mark--Once more I request you to send me the opera so that I may correct Artaria's quartet arrangement from it. *Surely you will not wish to give expression to any feelings of jealousy about this* and keep it back *on that account?*[41]

Since the composer's brother died in November 1815, Beethoven's chilly relations with Steiner in December of that year may reflect his realization that he would now have to make good on his promise to repay the loan of 1813. The tension seems to have been short-lived, however, and by January 1816 Beethoven returned to his affectionate military style of addressing the publisher.[42] He did manage, however, to avoid forfeiture of Opus 102 as repayment of the debt; the sonatas were published in Bonn by Simrock in 1817, bearing no dedication.[43] Two years later, in 1819, Opus 102 was

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[40] Anderson, Letter no. 576.

[41] Anderson, Letter no. 576.

[42] Anderson, Letter no. 577.

[43] Thayer-Forbes, 692.

published again, this time in Vienna, by the publishing house Artaria with a dedication to the Countess Anna Marie Erdödy.[44]

An explanation for Beethoven's erratic behavior in his eagerness to publish during this period can be found in many letters in which the composer refers to his debilitating financial condition. After the death of his brother in November 1815, Beethoven embarked upon an odyssey which would prove to be difficult and eventually devastating: the guardianship of his nephew Karl. After his brother's death, Beethoven became obsessed with the idea that he was "wholly financially responsible" for his nephew, which was not in fact the case, but letters, diaries, and conversation-books offer evidence that for the rest of his life the making and saving of money for his nephew was one of his primary preoccupations.[45] While it is indeed true that Beethoven did suffer monetarily from the post-Revolutionary devaluation of currency, as well as the temporary loss of the annuities promised by his aristocratic benefactors, the annuities had been partially restored by 1815, and the Congress performances had provided a fairly sizable nest egg. Beethoven's obsession to leave money for Karl is demonstrated by his slightly dubious dealings with Steiner, illustrating a facet of his personality which would become more pronounced in later years.[46]

The fact that Opus 102 should eventually bear the dedication to Countess Erdödy is not surprising since she had been an intimate and

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[44] Thayer-Forbes, 745.

[45] M. Cooper, 20.

[46] M. Cooper, 45.

treasured friend of Beethoven's for many years. If we may trust Schindler, "What this lady had for many years been to Beethoven may be summed up in his name for her: he called her his 'Father confessor.'"[47] Beethoven's frequent stays at her palaces and the numerous letters exchanged between the two attest to the quality of their friendship. Beethoven also dedicated the Fortepiano Trios, Opus 70, no. 1 and no. 2 of 1809 to her, as well as the canon "Glück, Glück zum neuen Jahr," WoO 174, in 1819.[48]

The impetus for the composition of Opus 102 arose from a tragedy suffered by another of Beethoven's aristocratic benefactors. On New Year's Eve, 1814, the palace of the Russian Ambassador, Razumovsky, burned to the ground in a disastrous fire, shortly after which the Count returned to his native Russia. As a result, the string quartet that had been associated with the Russian embassy since 1808 was disbanded. Its 'cellist, Joseph Linke, was soon under the employ of Countess Erdödy as "chamber virtuoso" at her summer residence in Jedlersee.[49] Because of his membership in the Razumovsky Quartet, Linke had been a friend of Beethoven's for some time and had frequently performed the composer's chamber works. During the summer of 1815 Beethoven resided in Baden and was a visitor at the palace of the Countess. In a letter of that summer to Countess Erdödy, Beethoven indulges in his notorious penchant for bad puns: "Let the violoncello apply himself; starting on the left *[linke]* bank of the Danube

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[47] Schindler, 212.

[48] Thayer-Forbes, 744.

[49] M. Cooper, 132.

he is to play until everyone has crossed from the right bank of the Danube."[50] The entire letter is laced with such puns which, as Martin Cooper notes, "may have appalled his friends yet always indicated a state of happiness, or at least contentment."[51] This display of humor offers some indication that during 1815 Beethoven was finally showing signs of recovery from his paralyzing depression of 1813.

The autograph of Opus 102, no. 1, is dated *"1815 gegen Ende juli,"* and that of Opus 102, no. 2 is inscribed *"anfangs August 1815."*[52] These dates are substantiated by sketches of the sonatas found in sketchbooks known as "Scheide" (ca. February to ca. October 1815),[53] and "Mendelssohn I" (ca. March 1815 to ca. May 1816).[54] A third sketchbook, however, known simply as the "Sketchbook of 1814-1815," is believed to span the period of December 1814 to February 1815 and contains sketches of the first movement of Opus 102, no. 2.,[55] an indication that the genesis of the sonata in D major may date back to as early as February 1815.

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[50] "The violoncellist was . . . Linke, whose name probably inspired the drollery about the left *(linke)* bank of the Danube." Thayer-Forbes, 621.

[51] M. Cooper, 132.

[52] Douglas Johnson, Alan Tyson, and Robert Winter, *The Beethoven Sketchbooks*, ed. Douglas Johnson, (Berkeley: University of California Press, 1985), 239.

[53] Johnson, 239.

[54] Johnson, 341.

[55] Johnson, 239.

First Performance and Reviews of Opus 102

Little is recorded of the first performance of and reaction to Opus 102. In a 1966 Ph.D. dissertation on the five 'cello sonatas, Edward Szabo states that one of the works was performed by Linke and Carl Czerny on February 18, 1816 at the hotel "Zum Römischer Kaiser" on Renngasse in Vienna.[56] This is clearly contradicted by Thayer who reports that the earlier sonata, Opus 69, was in fact the 'cello work performed that night.[57] We do, however, hear from Schindler that Opus 102 provoked considerable animosity from the public. The basis for the disapproval was the fugal finale of the Sonata in D major. According to Schindler, Beethoven's "enemies" had long believed him incapable of fugal composition and took the opportunity of Opus 102 to shower him with criticism over this fugue. In his characteristic "hopelessly-devoted" fashion, Schindler offers the following:

> Then there appeared opus 102, and as the final movement of the sonata in D, an Allegro fugato. The fat was in the fire. Immediately nearly the whole army of Philistines started flailing this movement with both fists; nor did they spare the other movements of the sonata, not even the Adagio, which is among the richest and most deeply sensitive inspirations of Beethoven's muse. If any person had made so bold as to defend the work, he would have been stoned by the embittered enemies. It really seemed that the hatred directed against the great master, whose works had already obscured so many composers living in Vienna, had only been dozing, awaiting the opportunity to assert itself openly.[58]

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[56] Edward J. Szabo, "The Violoncello-Piano Sonatas of Ludwig van Beethoven" (Ph.D. diss., Columbia University, 1966), 83.

[57] Thayer-Forbes, 641.

[58] Schindler, 213.

Unfortunately, Schindler barely knew Beethoven until after 1818 and the accuracy of his account must remain in question. A review which appeared in the *Allgemeine Musikalische Zeitung* in 1818, however, does seem to substantiate Schindler's report:

> These two sonatas are surely among the most extraordinary, the strangest piano works in any form to be written in many years. Everything here is different, very different from anything ever heard before, even from the composer himself. We hope he will not take it amiss when we add that it does not appear an unimportant work, and as it seems to be well-ordered, well-divided, well-formed, its effect is all the more bizarre.[59]

Another review, from 1824 and probably by Adolf Bernhard Marx, includes the following comments:

> The theme is too merry for such serious treatment, and it therefore makes too shrill a contrast to the other movements. How much we would rather have heard another movement--a Beethovenian finale!--in place of this fugue. It would be therefore desirable that Beethoven not exploit fugue in such a wilful manner, since his great genius is naturally lifted above every form.[60]

An even less friendly review appeared in the Berlin *Allgemeine Musikalische Zeitung* in 1824:

> But if the reviewer is to confess his frank opinion, he cannot . . . describe this fugue as beautiful, despite the fact that it is skillfully wrought and highly original . . . A fugue such as this . . . can hardly please anyone, neither the connoisseur nor--still less--the non-connoisseur.[61]

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[59] Robin Wallace, *Beethoven's Critics, Aesthetic Dilemmas and Resolutions During the Composer's Lifetime*, (Cambridge: Cambridge University Press, 1986), 38.

[60] Cited in Stefan Kunze, ed., *Ludwig van Beethoven: Die Werke im Spiegel seiner Zeit: Gesammelte Konzertberichte und Rezensionen bis 1830* (Laaber: Laaber Verlag, 1987), 344.

[61] Warren Kirkendale, *Fugue and Fugato in Rococo and Classical Chamber Music* (Durham, N. C.: Duke University Press, 1979), 246.

Kinderman disputes the criticisms of this fugue:

> The lively, dance-like gait of the *Allegro fugato* is well calculated to supersede the contrast-laden first movement and the sombre, chorale-like *Adagio con molto sentimento d'affetto.* What the fugal texture adds is the necessary density to allow the finale to stand up successfully against the other movements, and indeed to act as culmination of the whole.[62]

Schindler naïvely believed that Beethoven's preoccupation with fugal writing in his last period was in direct response to certain of the composer's contemporaries who believed him incapable of writing a fugue.[63] Solomon offers a more realistic concept:

> What Misch calls "the rebirth of fugue from the spirit of the sonata" arose out of Beethoven's need to create musical movement of a different type than was permitted by the obbligato style, and at the same time expressed his search to expand the possibilities of sonata form itself.[64]

More than half of Beethoven's major works from this point on are seen to contain a full-scale fugue and many others contain fughettas, fugatos, canons, and other types of contrapuntal passages.

The bulk of the early criticism of Opus 102, no. 2 has been leveled at the fugal finale for its "want of clearness, [its] confusion,"[65] and even Schauffler, a 'cellist and critic writing one hundred years later, remained dismayed by it:

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[62] Kinderman, 188.

[63] Solomon, 299.

[64] Solomon, 299.

[65] Denis Arnold and Nigel Fortune, eds., *The Beethoven Reader,* (New York: W. W. Norton, 1971), 239.

> Thirty years study of this rough-hewn movement, as violoncellist and critic, has never altered the writer's conviction that its brutality, inflexibility and lack of poetic relief make the first fugue of the nine the worst of them.[66]

Martin Cooper sagaciously counters Schauffler's complaint with, "That this is ungrateful music to the performer is of no importance to the composer,"[67] a pronouncement which probably would elicit from Beethoven himself a hearty "Jawohl!"

Hermeneutic Interpretations of Opus 102

Opus 102, no. 1

Concerning the mood of the *Andante* introduction, Martin Cooper writes:

> The mood is withdrawn and meditative, yet warm with benignity. . . . the listener has the sensation of overhearing an interior monologue, or a dialogue between two parts of the composer's personality complete with questions and hesitations (bars 5 and 10).[68]

Cooper's observation offers an illustration of what has been identified above as the late period tendency toward "immediacy of communication."[69] While the image of dialogue and conversation has also been observed by Barth in the early sonatas, Opus 5, the difference here is in a depth of intimacy that is described by Denis Matthews: "In Opus 102, no. 1, the give-and-take is infinitely subtler, communing and confiding rather than conversing."[70]

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66 Robert Haven Schauffler, *Beethoven, the Man Who Freed Music,* (New York: Doubleday, Doran, and Co., 1929), Vol. II, 356.

67 M. Cooper, 144.

68 M. Cooper, 133-134.

69 Solomon, 296.

70 Matthews, 121.

If viewed from the perspective of Leonard Ratner's theory of "topics," the thematic material of the introduction could be described as a "singing style"[71] melodic subject engaged within a "fantasia" setting.[72] The "warmth and benignity" observed by Cooper is reflected in the composer's marking of *teneramente* (tenderly, gently), and the "singing style" is certainly substantiated by the marking *dolce cantabile* (sweetly singing). The "fantasia" element is described by Ratner as "a sense of improvisation and loose structural links between figures and phrases."[73] The trills in measures 16-20, the cadenza-like passage in measure 24, and the arpeggiated thirty-second note pattern in measures 25-26 all contribute to the "fantasia" atmosphere of the introduction.

The descending major scale of the opening motive is described by Deryck Cooke as expressing an "incoming emotion of joy, an acceptance or welcoming of comfort, consolation, or fulfillment."[74] The descending line is joined with an ascending scale which passes the tonic and touches on the major third before rising to the dominant; Cooke's interpretation of this gesture is "outgoing, active, and assertive emotion of joy."[75]

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71 Leonard G. Ratner, *Classic Music: Expression, Form, and Style* (New York: Schirmer Books, 1980), 19.

72 Ratner, 24.

73 Ratner, 24.

74 Deryck Cooke, *The Language of Music* (Oxford: Oxford University Press, 1991), 159.

75 Cooke, 119.

The atmosphere of comfort, consolation, and joy in the introduction belies what follows, as the exposition plunges to the relative minor. The opening theme of the exposition pursues an ascending minor scale, beginning on the dominant and rising an octave by way of the tonic. To Cooke, this gesture represents "outgoing feeling of pain, assertion of sorrow, protest against misfortune, coupled with an acknowledgment of tragedy."[76] The dotted rhythm of the descending dominant-to-tonic scale that follows represents to Cooke "incoming painful emotion, in a context of finality; acceptance of, or yielding to grief."[77] The extreme contrast between the emotions of the introduction and exposition is slightly but insufficiently mitigated in the development section with the momentary appearance of the opening (A minor) theme, now in the tonic major. By this point the painful emotion of the minor tonality seems destined to prevail, and C major is quickly displaced, never to return again in the first movement. The final gesture of the movement, the descending dotted-rhythm scale of the opening, finalizes the portrayal of "incoming painful emotion" and "yielding to grief" as the predominant emotion.

In his liner notes on the 'cello sonatas, Dutch 'cellist Pieter Wispelwey observes the extreme contrasts of the work: "The intimacy in the introduction is boundless and the *Allegro vivace* is a perilous battlefield which does not permit more than two measures to a 'song theme.'"[78] The contrast between

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[76] Cooke, 123.

[77] Cooke, 133.

[78] Pieter Wispelwey, 'cellist, *Beethoven: The Complete Sonatas for Pianoforte and Cello.* (Channel Classics CC53592, 1992), 2.

the intimacy of the introduction and the "perilous battlefield" of the *Allegro vivace* is only one of many contrasts so active in the movement; the smooth rhythm of the introduction is also contrasted strongly by the dotted rhythms of the exposition. Another form of contrast is found in measures 89-93 of the development section which contains a harmonic characteristic that becomes increasingly common in Beethoven's later works, a semitone sideslip. Cooper describes this gesture as seeming to "shift the whole plane of Beethoven's thought to an entirely different world for a few seconds."[79] Cooper likens this passage to moments of distraction or dissociation which are used for the contrasting emphasis they give the return to the mental thread they have interrupted. A similar occurrence can be found in the final movement of the last String Quartet, Opus 135.

The *Allegro vivace* also contains what is commonly called a "false recapitulation." Phenomenologist Victor Turner equates the procedure of false recapitulation to a concept he calls "status reversal," in which rhetorical elements either mock the main structure or mimic it. Turner explains this phenomenon: "nothing underlines regularity so well as absurdity or paradox. Emotionally, nothing satisfies as much as extravagant or temporarily permitted illicit behavior."[80] The paradox of false recapitulation is not uncommon for Beethoven; one famous later example is found in the late String Quartet, Opus 132, in which the recapitulation is fully provided, but proffered first in E minor, not the expected tonic of A minor. The effect

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[79] M. Cooper, 134.

[80] Victor Turner, *The Ritual Process* (Chicago: Aldine Publishing Co., 1969), 176.

produced in this instance, however, is a heightening of the dramatic seriousness of the movement, accommodating Turner's above definition of "satisfying the emotions." The device of false recapitulation will also appear in the first movement of Opus 102, no. 2.

The element of contrast in Opus 102, no. 1, is not confined to the first movement; the second movement returns to the tonic C major, again opening with an introductory section that strongly contrasts with the *Allegro* finale. The return to the simplicity and purity of C major in the second movement *Adagio* is quickly undermined by a modulatory pattern that creates a mood of mystery and tenuousness while toying absent-mindedly with gestures from the first movement introduction, and finally recalling the very opening of the work. Cooper calls this introduction "no more than a seven-bar reminiscence, leading without a break into the next movement,"[81] while Matthews speaks of resuming "the mood of communing in a more elaborate and tonally elusive manner until it actually recalls the opening of the work."[82]

The *Allegro vivace* opens with a four-note ascending scale rising from the dominant to the tonic. The rise from dominant to tonic represents what Cooke would call an outgoing emotion that "takes in the optimistic sixth and seventh,"[83] and reaches a "point of repose"[84] on the tonic note. The cheerful

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[81] M. Cooper, 135.

[82] Matthews, 121.

[83] Cooke, 159.

[84] Cooke, 115.

mood that is established quickly becomes whimsical when the 'cello attempts to imitate the scale but never seems to be able to "catch up" to the fortepiano. The humor is enhanced by occasional measures of eighth-note triplets which disrupt the steady duple meter momentarily with a rustic dance-like ambiance. As the movement progresses, the whimsy is expanded as the 'cello offers a rather absurd gesture in the form of sustained open fifths. Wispelwey offers the following observations on the contrasts in the second movement:

> A period of reminiscence about the Andante's idyll is followed by a festive conclusion, in which the humour takes on even grotesque forms as Beethoven shamelessly makes silly faces in the fifths which are being jeered off the scene by subito forces.[85]

The element of contrast in the second movement creates an atmosphere of irony that is dependent upon the juxtaposition of the "idyllic" introduction and the drollery of the finale, with its emphasis on the anomalous open fifths in the low register of the 'cello. The humorous elements of the finale are also mentioned by Nigel Fortune:

> It starts with one of those cheerful phrases--introduced in a typically hesitant way and surely stemming from popular music--that occasionally burst in in late Beethoven, somewhat disconcertingly, it may seem at first, into weightier surrounds, which indeed enhance them.[86]

The contrast of whimsy and sophistication in the finale of Opus 2, no. 1, is observed by Matthews: "The subject is playful and in a popular vein, but

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[85] Wispelwey, 3.

[86] Arnold-Fortune, 234.

yields some explosive disagreements later as well as much contrapuntal interest."[87] Reference to the contrapuntal nature of the finale is also made by Warren Kirkendale:

> The lost sketchbook from the collection of Ernst von Mendelssohn (SV 70) contained a number of other fugal sketches including, interestingly, one using the theme of the last movement of the Sonata Opus 102, no. 1. Thus the finale of the first sonata of the opus, which is so baroque in flavor despite its final form as a sonata movement, was also originally planned as a fugue![88]

In summation, the basic temperament of the C major sonata seems to hinge on two elements, contrast and the subverting of expectations. In the first movement, a stark contrast exists between the withdrawn and meditative introduction and the "perilous battlefield" of the Allegro. Expectations are subverted by the entrance of the Exposition in A minor, rather than the tonic C major. Also, the "false recapitulation" provides a surprising jolt to the expectations. Similarly, the second movement presents the opposing moods of elegant lyricism in the introduction and the nearly slapstick material of the exposition. While contrast and surprise predominate in Opus 102, no. 1, overall unity is achieved through several means. The most obvious unity exists in the recall of first movement material in the introduction to the second movement. Another aspect of the unity of the work is observed by Cooper: "The moment of distraction or dissociation in the first movement anticipates the harmonic leap or slip that introduces the

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87 Matthews, 121.

88 Kirkendale, 244.

development section in the last movement."[89] Also, thematic unity is created by Beethoven's exploitation of rising and falling scale motives, both in major and minor modes. For example, the opening gesture of the first movement appears in the second movement *Allegro vivace* in reverse, and again in the final measures of the work, however, now descending from the dominant to the tonic, fulfilling Cooke's archetype of "having come home."[90]

Opus 102, no. 2

In the sonata in D major Beethoven returns to the more usual three-movement plan and, for the first time, offers a full-scale slow movement, often considered to be "the heart of the work."[91] Bekker offers a succinct account of the differences in character and dramatic effect of the two sonatas:

> In contrast to the C major sonata, which begins in dreamy emotion and moves gradually toward a restrained gaiety, the D major begins with headstrong determination and energy, an exhibition of willpower, then passes through a phase of tenderness and melancholy in the *adagio 'con molto sentimento d'affetto* and returns to a mood of exalted confidence in the fugue.[92]

Contrast is again a foremost feature of the D major sonata, evident both within and between the three movements. Czerny's comments on this movement indicate his recognition of contrast: "Lively, majestic, powerful

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[89] M. Cooper, 138.

[90] Cooke, 130.

[91] Matthews, 122.

[92] Paul Bekker, *Beethoven*, trans. and adap. M. M. Bozman, ed. A. Eaglefield-Hull (London: J. M. Dent and Sons, Ltd., 1925), 302.

and decided. The time by no means fluctuating, but the soft middle subject with tranquillity and feeling."[93]

Of the opening *Allegro,* Wispelwey remarks:

> In the Allegro of the *fifth sonata,* . . . again everything is formulated in a straightforward, sometimes ruthless way. But how caustic the opening motif, how concise again the second theme, the character of this piece comes closer to that of Goethe's Prometheus: glowing with human pride and feeling, fierce and provocative.[94]

Wispelwey's reference to "fierce" pride is somewhat echoed in remarks about the D major sonata made by Eugenio Albini in *The Beethoven Companion:*

> Even after we have passed to the lyric-sentimental part, the first theme returns, first peeping through and then becoming aggressive and imperious, dominating the entire movement. [95]

The "aggressive and imperious" first theme to which Albini refers is an assertive and confident five-note "fanfare" that springs first to the octave and then to the tenth, and is followed by a passage of "brilliant style" figurations which descend an octave and come to rest on the tonic. This forceful melodic fragment reflects Cooke's interpretation of "outgoing and incoming emotions of joy, exuberance, triumph, and aspiration, together with a feeling of having come home."[96] The second principal theme (2P) enters at measure 4 in the

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[93] Carl Czerny, *On the Proper Performance of All Beethoven's Works for the Piano* (London, 1846; facsimile, ed. Paul Badura-Skoda, Vienna: Universal, 1970), 90.

[94] Wispelwey, 2.

[95] Eugenio Albini, trans. by Thomas K. Scherman, *The Beethoven Companion,* ed. Thomas K. Scherman and Louis Biancolli (Garden City, New York: Doubleday & Company, 1972), 693-694.

[96] Cooke, 130.

'cello in "singing style" and consists of a *pianissimo* arpeggiated scale outlining the tonic chord and ascending to the dominant. This gesture again fits Cooke's archetype of "outgoing, active emotion of joy," although now diminished in power by the marking *dolce.*

The third principal theme (3P) enters at measure 8 in "galant style," and proves to be less forceful as it pursues a step-wise ascending pattern that eventually reaches to the dominant. During the ascent the melody lingers momentarily on and around the major third, representing to Cooke an assertion of "joy, pure and simple."[97] It is this theme from which the "singing style" lyric secondary theme (S) is derived.

The element of contrast is heightened in the first movement through the device of "false recapitulation" and also a development-like coda that momentarily carries the tonality far from the original D major, before the final assertive sixteenth-note figurations in contrary motion.

The ternary second movement was called by Schindler "among the richest and most deeply sensitive inspirations of Beethoven's muse."[98] Czerny recommends performing the *Andante* "very slow and *legato,* and with deep pathetic feeling. The middle subject extremely *cantabile,* soft and with expression."[99] Czerny's "pathetic feeling" is immediately established as the movement opens in the key of D minor, a key seldom used by Beethoven. With respect to the traditions of key characteristics, Schubart refers to D

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[97] Cooke, 118.

[98] Schindler, 213.

[99] Czerny, 90.

minor as representing "melancholy womanliness," Rousseau ascribes to it "serious subjects," and it was said by Knecht to depict "gentle sorrowing."[100] Wispelwey's assessment of the *Adagio* certainly reflects the key characteristics of D minor: "In its darkness, the magnificent Adagio is formidably serious and expressive."[101] Albini also agrees on the seriousness of the movement:

> The first notes, grave and deep, whispered *a mezza voce,* at once impose rapt attention; then gradually this religious song becomes so convincing and moving that the listener is swept away, abandoning himself softly to the indefinable spiritual enjoyment it provides.[102]

It has been suggested that the key of the middle section, D major, is often to Beethoven a key of warmth and richness, especially when he employs it as a key of modulation, and sometimes to contrast with D minor.[103] Beethoven himself offers an immediate clue as to the mood of the movement through the marking *Adagio con molto sentimento d'affeto* which translated implies "sadness, with much feeling of love."

In contrast to the tenebrous, brooding opening section, the narrative of the middle section unfolds affectionately, and the spirit of tenderness becomes increasingly expansive, but is ultimately terminated with a pronouncement of finality, mutually agreed upon by both instruments.

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[100] Rita Steblin, *A History of Key Characteristics in the Eighteenth and Nineteenth Centuries* (Michigan: UMI Research Press, 1983), 37.

[101] Wispelwey, 2.

[102] Albini, 964.

[103] Arnold-Fortune, 238.

The conflicting emotions of the two sections are noted by Matthews: "The scoring of the opening chorale is dark, but it is followed by impassioned dialogue and, at the turn to the tonic major, mutual consolation."[104] The element of conflict is unmistakable in the music of Beethoven, paralleling the conflict-ridden character of his personal life. One suggested method of conflict resolution is worthy of consideration:

> The artist is capable of creating what he himself can never be; perhaps what rests in him is a potentiality that cannot grow into something psychic and personal, but can be realized only through and within an objective medium."[105]

This provocative observation could suggest that the *Adagio's* contrasting emotions represent a sublimation which brings about a symbolic solution to an irreconcilable conflict.

If it is true that "music functions very much like poetry in making a coherent and unified statement out of conflicting emotions,"[106] then the *Adagio's* two distinctive emotions, melancholy and tenderness, might be more easily explained. The existence of such contrast presents a dichotomy: how do the two emotions integrate to give meaning to the movement? The rapid shift between the dark and light emotions could be viewed as a stage which has reluctantly been set (section A) in preparation for the presentation

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104 Matthews, 122.

105 K. R. Eissler, *Discourse on Hamlet and 'Hamlet,'* as cited in Maynard Solomon, "Beethoven and his Nephew: A Reappraisal," *Beethoven Studies 2*, Joseph Kerman, ed. (London: Oxford University Press, 1977), 152.

106 Cooke, 30.

of a narrative (section B) on a subject which is both intimate and bittersweet to its author.

The D minor opening section of the *Adagio* immediately "sets the stage" with gestures suggesting a gloomy landscape of tenebrous, melancholic emotion which seems reluctant to abdicate to the gentleness of the D major middle section, as if the beauty of what is to come is too painful to allow. As the affectionate narrative of the middle section unfolds, the spirit of tenderness becomes increasingly expansive, but is ultimately terminated with a pronouncement of finality, mutually agreed upon by both instruments. The fact that the tender narrative is swallowed up by the return of the melancholic opening theme offers the suggestion that we may perhaps be witnessing a reverie of a time past, or a nostalgic meditation on a beautiful, yet painful memory. The impression of nostalgia did not escape 'cellist Pieter Wispelwey: "The middle section might have an atmosphere of oblivion or perhaps nostalgia, the rest of the movement is austere and severe, yet embellished with a personal touch."[107]

To suggest that the *Adagio* seems to represent a tender, melancholic reverie is the prerogative of the listener; to present a convincing argument for that interpretation, however, requires an exploration of the technical functions that give the music its expression. For example, it has been suggested that the middle section of the *Adagio* possesses elements of "impassioned dialogue,"[108] but if the meaning of this dialogue is to be decoded, the function of the music as a language must be established.

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[107] Wispelwey, 2.

[108] Matthews, 122.

By comparing the musical content of the *Adagio* with Cooke's symbolic archetypes, an affinity emerges which suggests that Cooke's method may prove to be reliable in validating the comprehensive designation of "melancholy" and "tenderness" as embodiments of the *Adagio*. First, the thematic material of the two contrasting sections of the *Adagio* fit neatly into Cooke's melodic interpretations. For example, the opening theme consists of a descending pattern which contains the minor third, a phrase which Cooke sees as expressing "incoming painful emotion, in a context of finality: acceptance of, or yielding to grief; discouragement and depression; passive suffering; and the despair connected with death."[109]

As the second theme emerges, we find a correlation between the melodic phrase rising to the minor third, then resting on the second, and Cooke's comparison of this gesture with elements in works titled by both Beethoven and Tchaikovsky as *Pathétique*, as well as the usage of this progression by Purcell in *Dido's Lament* ("When I am laid in earth.")[110] This phrase is said by Cooke to express a sense of brooding grief swelling out briefly into a burst of anguish and then dying away.[111] The effectiveness of this gesture is intensified by the long appoggiatura on the minor third.

As the minor section of the movement approaches the transition to the major, the 'cello reiterates the anguished gesture of the second theme one last time, while the fortepiano gracefully moves into the major tonality that introduces the tender narrative of the lyrical middle section.

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[109] Cooke, 133.

[110] Cooke, 151.

[111] Cooke, 151.

As the reverie unfolds, the fortepiano embarks on a lyrical melody containing a scale from the major third, rising to the sixth and coming to rest on the fifth, a gesture which Cooke views as expressing innocence and optimism, "the purity of angels and children,"[112] with a slight sense of pleasurable longing or pleading created by the 5-6-5 appoggiatura.[113] To enhance the feeling of tender joy, Beethoven employs a 'cello harmony line which seems to "cradle" the fortepiano melody, and resembles two of Cooke's definitions, "a feeling of passionate love,"[114] and, "the lullaby phrase which moves between the major third and the dominant."[115] The counter-statement from the 'cello employs another of Cooke's archetypes with its major scale dropping from the tonic down to the dominant, revealing a sense of "incoming emotion of joy, an acceptance or welcoming of comfort, consolation, or fulfillment."[116]

As the narrative progresses, both instruments engage in an interchange of statements and responses which consistently adhere to the pattern of tender joy demonstrated by a variety of Cooke's symbols. This mood, however, encounters a momentary interruption at one point when the 'cello introduces a descending chromatic scale which at first bears resemblance to Cooke's model of the flattened sixth coming to rest on the fifth, creating the

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[112] Cooke, 154.

[113] Cooke, 146.

[114] Cooke, 166.

[115] Cooke, 167.

[116] Cooke, 159.

effect of "a burst of anguish."[117] This outburst is resolved by the 'cello proceeding down the scale from the tonic to the dominant, and beyond, resuming the "incoming emotion of joy, an acceptance or welcoming of comfort, consolation, or fulfillment" previously established. It is important to note that the startling dynamics of this outburst create such a dramatic emanation that it seems as if, for the first time, the "dialogue" has become intrinsically vocal.

After this interruption, the narrative continues in its gentle "chatting," resembling not truly verbalized ideas, but more in the sense of an intimate, mundane discussion being overheard. Certain devices are employed to reinforce the mood: slow fortepiano turns reveal modesty, softness, and sorrow; and the tessitura is frequently within a medium range, creating an atmosphere that is soft, weak, pathetic, and amorous. The various descriptive words employed by Cooke should at this point be reviewed: sadness, painful emotion, passive suffering, yielding to grief, anguish, innocence, optimism, purity of angels and children, pleasurable longing, passionate love, modesty, softness, relief, consolation, reassurance, fulfillment. Surely these words furnish the ingredients for an inescapable conclusion that "melancholy" and "tenderness" do indeed characterize the overall atmosphere of the movement.

The middle section continues its tender dialogue, intensifying near the close with a two-measure gesture in which the two instruments seem to be embracing with a gently swelling and rocking motion. Before returning to the anguished gloom of the opening, the middle section ends with an

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[117] Cooke, 146.

affectionate statement from the fortepiano and response from the 'cello which can best be compared with Cooke's description of "relief, consolation, reassurance, or fulfillment, together with a feeling of having come home."[118] This lyrical passage has already been described by Matthews as representing "mutual consolation,"[119] a coincidence which should not be overlooked, as it reinforces the two-sidedness of the dialogue, as well as reiterating Cooke's designation of "consolation."[120] It is also important to compare this passage with the earlier 'cello outburst of anguish, as both embody the quality of being intrinsically vocal.

Following the tenderness of the D major section, (appropriately marked *dolce* by the composer,) the return of the D minor tonality reestablishes the somber, melancholic atmosphere of the opening chorale. The juxtaposition of the return to the minor tonality further enhances the impression that the listener has just witnessed a beautiful reverie or nostalgic memory which is then painfully displaced by a falling scale in staccato dotted rhythm. Matthews comments on the transition to the third movement:

> Towards the end the music drifts away in a mood of deep introspection typical of Beethoven's last-period works, until the 'cello tentatively offers a simple rising scale and, with the piano's assent, sets off the final fugue.[121]

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[118] Cooke, 130.

[119] Cooke, 122.

[120] Cooke, 130.

[121] Matthews, 122.

Wispelwey offers his description of the contrast between the second and third movements:

> Before saying good-bye to this world of tragedy and resignation we are blessed, as it were, in yet another unexpectedly vulnerable moment preceding the great final fugue. And even in this most abstract movement of the five sonatas, there is a brimming vitality as always addressing itself to the listener in the most direct way.[122]

The subject of the fugue is actually introduced first as a fragment of itself in the form of a "false start." This imperfect first appearance of the subject gives the impression of a suddenly interrupted onset, and the subject is launched only after a hesitant approach. Beethoven also utilized the device of false start in the fugato section of the Scherzo in the Fifth Symphony.[123]

The fugue subject consists of a major scale rising from the dominant and overshooting the fifth at the octave, then coming to rest on the sixth. This melodic line bears some resemblance to the opening theme of the first movement. Both are made up of ascending major scales, expressing Cooke's concept of outgoing and assertive emotion of joy; also, in both themes, the accent is on the conventionally weak second beat, despite the differences in meter. While these similarities suggest a unity between the two movements, the atmosphere of the fugue subject is decidedly less confident due to Beethoven's dynamic markings. The marking *sempre piano* appears at each entrance of the subject, implying a mood that is somewhat contradictory to the usual power and energy of an Allegro fugato.

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122 Wispelwey, 2.

123 Kirkendale, 128.

The fugue subject also contains two other gestures, the first being the interval of an ascending minor second, coming to rest on the tonic, in measure 7, and providing a momentary sense of resolution before moving on. The third element of the subject consists of a descending third pattern which parallels Cooke's description of experiencing joy passively, relief, consolation, and reassurance.[124]

After its hesitant and restrained start, the fugue begins to increase in energy and assertiveness. The key to understanding the meaning of this movement may lie in the connection between the fugue and the preceding movement. The second movement had created a dreamy world of melancholy and tenderness which never reached a final resolution, but rather shifted directly into the hesitant "false" subject of the fugue. The lack of resolution suggests that the fugue may present the image of a return to the world of action and resolve, or perhaps a method of "burning off" the concentration of unresolved emotion generated by the preceding movement.

Since the fugal finale of Opus 102, no. 2, generated considerable criticism in 1818, it is not surprising to find that many modern writers tend to adopt a somewhat defensive attitude when discussing this fugue. Martin Cooper defends the "bewildering" number of sforzando markings, the majority of which are on the conventionally weak beats:

> There are no fugal devices that Beethoven uses with greater relish and effect than inversion and the treatment of the subject by reversal of accents, both of which suggest an obvious parallel with verbal contradiction; but this revelation of a basic unity in apparently contradictory statements is a specifically musical activity that has no

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[124] Cooke, 130.

> exact parallel in the other arts. It is here that music shows, paradoxically, its superiority to precision in words.[125]

Kirkendale compares Beethoven's approach to this fugue to that of J. S. Bach:

> For all the fugal movements in Beethoven's chamber music, this one, with its strong linear counterpoint, is closest to J. S. Bach. Like Mozart's Violin Sonata, K. 402, it was consciously modeled upon Bach's keyboard style and is related particularly to his sonatas for a string instrument with obbligato keyboard.[126]

Finally, Cooper justifies the use of trills, stretto and scales in contrary motion in the coda:

> These last two pages illustrate Beethoven's confident ignoring of merely sensuous beauty, or perhaps rather his confidence in being able to allow such claims an entirely secondary place when the drama, as well as the argument, of a movement demand it.[127]

Structural Analysis of Opus 102

Opus 102, no. 1

In the Sonata, Opus 102, no. 1, in C major, Beethoven returned to the two-movement structure used in Opus 5, no. 1. Rather than a rondo finale, however, sonata-allegro form is now utilized for each movement. Both movements are prefaced by slow introductions. In addition to presenting important thematic material, the introductions unify the cyclic nature of the work. The harmonic structure is another uncommon feature of the C major

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[125] M. Cooper, 143.

[126] Kirkendale, 247.

[127] M. Cooper, 144.

sonata. While the introduction of the first movement firmly establishes the C major tonality, the principal theme (P) appears in the relative minor key of A minor. To further the tonal diversion, the secondary theme (S) begins in G major and moves into the parallel minor key of E minor, the minor dominant of A minor. The C major tonality is suggested momentarily in the opening of the development. Despite the tonal deviations, the harmonic network remains closely related to C major throughout the work. What Szabo refers to as the "consummate synthesis of Beethoven's 'obbligato accompaniment' sonata style"[128] is created by the two instruments being inseparably interwoven in the thematic framework. In a manner recalling Opus 5, the interaction of the two voices in the finale presents a strong image of a decidedly playful and spirited dialogue. This sense of playful dialogue also has been seen in the Scherzo of the Sonata in A major, Opus 69.

First Movement
Form: Sonata-Allegro
Introduction: measures 1-27
Exposition: measures 28-75
Development: measures 76-97
Recapitulation: measures 98-144
Coda: measures 145-154

Introduction: C major

Andante teneramente

Measures 1-5. The twenty-six measure *Andante* introduction is based entirely on the 'cello's unaccompanied opening phrase (see example 1) which is almost immediately countered in imitation by the fortepiano.

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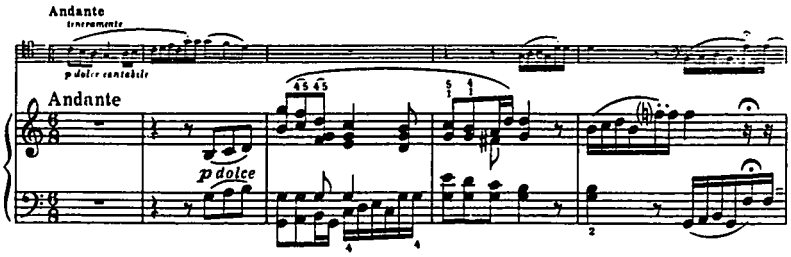
[128] Szabo, 84.

The dialogue is extended harmonically by sequential repetition before being interrupted at the fermata.

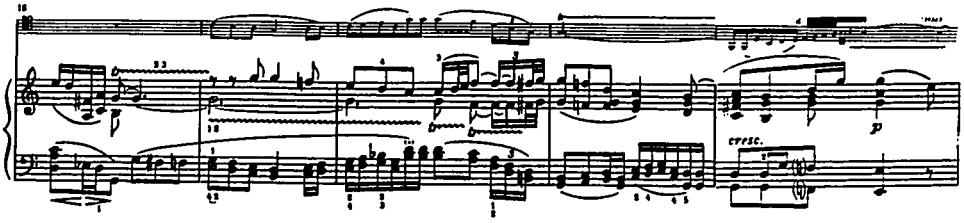
Example 1: Opus 102, no. 1/I, mm. 1-5



Measures 6-10. The opening theme is repeated in thirds and imitated in the upper register of the fortepiano, beginning as an accompaniment but then gradually becoming transformed into a counter-melody. Throughout the Introduction, the emphasis is on the interval of the third, either in the fortepiano part or in the interaction between the two instruments.

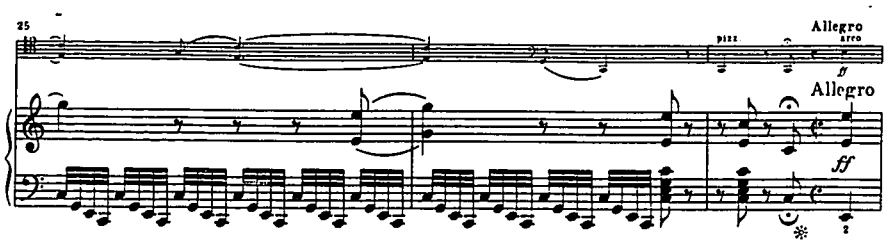
Measures 11-16. The instruments exchange voices for a repeat of measures 6-10 before being interrupted by another statement of the opening theme. The 'cello's return to the opening theme at measure 16 is prepared by the fortepiano with a dominant pedal trill, later taken over by the 'cello (see example 2).

Example 2: Opus 102, no. 1/I, mm. 16-20



Measures 17-27. The final cadence of the introduction (see example 3) is ushered in by a passage which begins with a section adding trills, leading to an arpeggiated dominant- seventh chord. The C major tonic is firmly established by a two-measure arpeggio pattern (measures 24-25) on the tonic in the left hand of the fortepiano.

Example 3: Opus 102, no. 1/I, mm. 25-27



Exposition: A minor

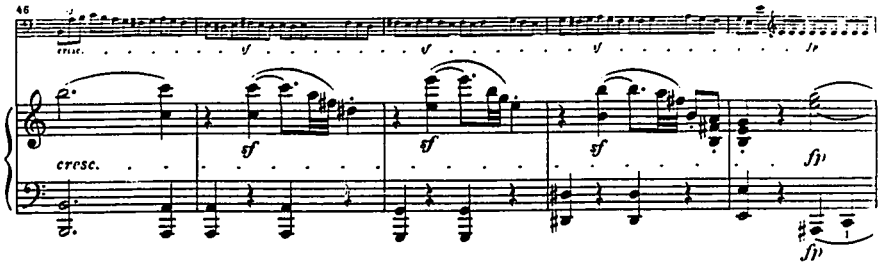
Allegro vivace

Measures 28-34: Principal theme (A minor). In startling contrast to the serenity of the introduction, the principal theme (P) enters *fortissimo,* covering four octaves of an unharmonized A minor scale in both instruments. The theme ascends in martial dotted rhythms, marked *sforzando,* to E, and descends to D rhythmically diminished to eighth and sixteenth notes, landing *fortepiano.* The second phrase features the dotted rhythms and canonic imitation over a dominant pedal. A diminished-seventh chord in measure 35 intensifies the cadence.

Measures 36-39: Transition. The transition (P/T) consists of a repeat of the beginning of the P theme, ending now on the note F# to prepare for the tonality of D major, G major or E minor.

Measures 40-63: Secondary Theme (E minor). The secondary theme (S) consists of two thematic elements, softly combined in counterpoint and sequential repetition. The 'cello moves in quarter notes while the fortepiano states its melodic fragment alternating between G major and E minor. The tonality of E minor is confirmed by the D# in measure 41 and the cadence to a first inversion E minor chord in measure 43. Dynamic intensity is increased in measures 46-50 by means of an eighth-note figuration in the 'cello with crescendo markings and sforzati on the weak beats (see example 4). In measures 51-52 the intensity ceases with the disappearance of the crescendo marking and the replacement of the szforati with the marking *fp*. The instruments exchange parts at measure 55 and material from measures 46-54 are repeated in double counterpoint, reaching a full cadence in measure 66.

Example 4: Opus 102, no. 1/I, mm. 46-50



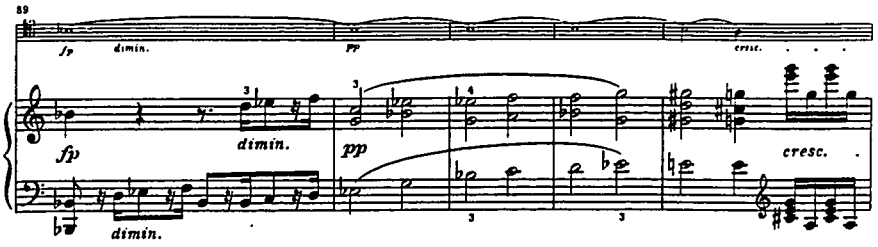
Measures 67-75b: Closing Section. The powerful Closing theme (K), rhythmically derived from P, is stated by the fortepiano and imitated contrapuntally in the 'cello. The descending dotted rhythm character of P is utilized and the unexpected *piano* marking at measure 75 sets up a dramatic contrast.

Development

Measures 76-93. The short development section begins with the opening measures of the P theme in the key of C major. The development is based exclusively on P material which is expanded by means of contrapuntal imitation, fast moving harmonic rhythms, and tonal ambiguity.

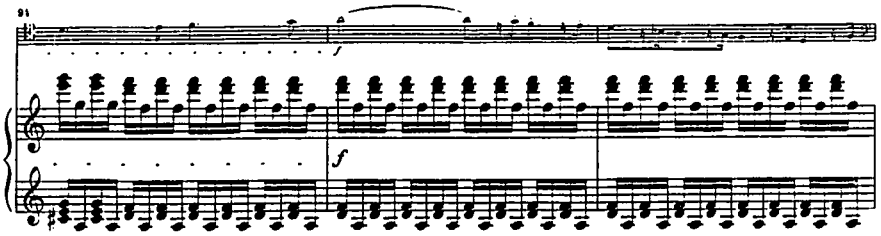
At the measure 80 the two instruments begin an exchange of antiphonal dialogue based on the descending dotted-rhythm scale of the P theme. The exchange lasts for eight measures, passing through G minor, D minor and A minor. At measure 89 (see example 5) the 'cello shifts up a half-step to B♭ which is sustained while the fortepiano offers a succession of *pianissimo* blocked chords. Over the sustained B♭, in the key of E♭ major, moving back to B♭, and from the IV of B♭, another half-step shift occurs,

Example 5: Opus 102, no. 1/I, mm. 89-93



Measures 94-96: Retransition. The retransition appears in the key of D minor, resembling what is sometimes described as a "false recapitulation," mimicking the opening P theme in the 'cello with broken sixteenth-note chords in the fortepiano (see example 6).

Example 6: Opus 102, no. 1/I, mm. 94-96



Recapitulation

Measures 98-144. The P theme appears briefly in canonic imitation enhanced by the repeated note E, an element borrowed from the S theme. A dominant-seventh chord precedes the modulation to the dominant of F major at measure 106, in preparation for the entrance of the secondary theme. The secondary theme (S) emerges, now in the key of F major, before moving through D minor and settling in the tonic A minor. Stated now in the tonic, the brusque closing material (K) reappears, for the most part unchanged from the exposition.

Coda

Measures 145-153. The coda enters with the V of IV, moving us to the sub-dominant side of the key, D minor, starting *forte* and subsiding to *piano* within one brief measure. The 'cello offers a lyric treatment of the opening P theme and is answered by the fortepiano with the principal

theme's descending, dotted-rhythm scale. This is extended through sequential imitation. The rhythmic figuration in the left hand of the fortepiano is derived from the retransition/false recapitulation of measures 94-96. The resolution to the tonic is delayed to nearly the very end as a dominant-seventh resolving to D minor leads to a B^b major Neapolitan chord which is followes by a cadence on the minor tonic. Tonal unity is accomplished by means of ascending tones in the left hand of the fortepiano, from the tones A, to B^b, then to B-natural, the fifth of the dominant. A final, unison statement of a portion of the P theme's dotted-rhythm descending scale precedes the final staccato cadence on the single note A, leaving the question of major or minor tonality unresolved.

Second Movement
Form: Sonata-Allegro
Introduction: measures 1-20
Exposition: measures 20-74
Development: measures 75-121
Recapitulation: measures 122-183
Coda: measures 184-259

Introduction

Adagio

Measures 1-2: C major

The introduction of the second movement returns to the original tonality of C major, and also to the intimate mood of the first movement's introduction. The opening gesture consists of a florid thirty-second note scale passage derived from the syncopated rhythmic motive in measure 6 of the first movement introduction. The tentative tonality is an interesting feature described by Szabo:

> Beethoven employs one of his seemingly favorite harmonic devices in achieving the suspended effect; the tonic chord of C major functions as a subdominant to its dominant chord of G, confirmed by the G major scale. A strong feeling of the tonic key of C does not occur until the F-natural tones on the third and fourth metrical beats. The second measure begins an imitation of the first measure but the tonic key is destroyed as it becomes a dominant seventh chord creating and preparing further harmonic expansion.[129]

Measures 3-6. The harmony is expanded and moves to the dominant of C major by way of a series of diminished-seventh chords.

Measures 7-9. The 'cello ascends from its lowest register to a protracted cadence which Beethoven labels *teneramente* (tenderly, gently). This passage introduces a recall to the opening bars of the first movement's introduction, and serves as a transition to the *Tempo d'Andante.*

Measures 10-20. Marked *Tempo d'Andante,* this section consists of an abbreviated reiteration of the first movement's introduction, varied and ornamented with trills and repeated notes, as well as canonic imitation and diminution of the thematic elements, characteristics which are quite prominent in Beethoven's late works. The cyclic nature of the work becomes explicit.

Exposition: *Allegro vivace*

Measures 17-38: Principal theme (C major). The first four measures of the exposition consist of a playful four-note principal theme (P) which may have inspired the *Allegro* of Beethoven's *Die Weihe des Hauses,* Opus 124, composed seven years later (see example 7).

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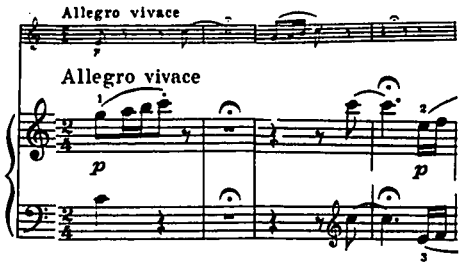
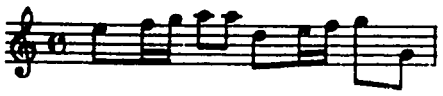
[129] Szabo, 92.

Example 7: Opus 102 no. 1/II, mm. 17-20



Opus 124/I, mm. 1-2



The short phrase does not play a large part in the exposition or recapitulation, but does dominate the short development section. A whimsical effect is created by this motive as the 'cello attempts to "catch up" with the fortepiano and is always defeated when the fortepiano consistently reaches the top of the scale first. The joke is enhanced by the use of dynamic markings which leap from *fortepiano* to a sudden *forte* at the top of the rapid scale. This bit of comedy is expanded at the beginning of the development as well as in the lengthy coda. Szabo points out that the highly "organic" material of the exposition consists of variations on the intervals of the motive which opened the Sonata.

> The hidden identity of these variations obscures the distinction between the Transition and theme II areas. The composer adds to this uncertainty later by using the unusual key of the subdominant in the Recapitulation (measures 146-153).[130]

Measures 39-46: Transition. The transitional (T) material is stated in the fortepiano and is built on material from the P theme. Meanwhile,

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[130] Szabo, 94.

an inversion of the motive creates a counter-melody in a sixteenth note variation, as the tonality modulates to G major.

Measures 47-65: Secondary theme (G major). The secondary theme (S) is a continuation of the T material, now firmly established in the dominant key of G major. Szabo notes a point of thematic culmination, beginning in measure 59, with a syncopated extension of the motive from measure 8 of the first movement.[131]

Measures 66-74: Closing Section. The closing material is an extension of the S theme and strongly emphasizes the G major cadence. The tension is heightened through the sequential repetition of a closing theme closely related to the P theme, in a high register of the fortepiano. No repeat of the exposition is indicated and, after a single measure of silence, the development begins.

Development

Measures 75-86. The 'cello opens the development ambiguously with a low, sustained E^{b}, a tone borrowed from the parallel minor key of C (see example 8). This is joined after two measures by the tone B^{b}; the bare fifths create a unique color and mysterioso effect. After two more measures the mood is instantly broken by the surprise entry of the "echo-game" of the opening motive. After a one-measure pause, the gesture is repeated, this time beginning on the note C.

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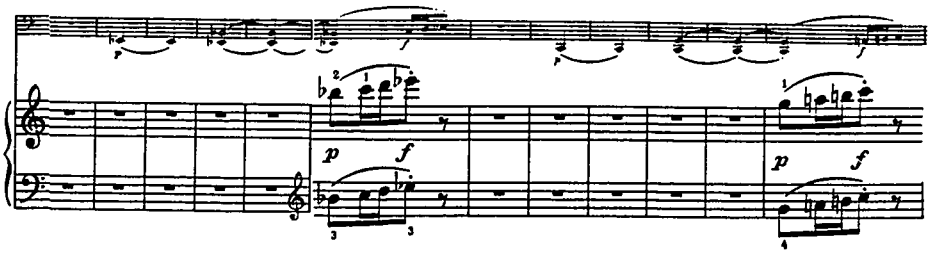
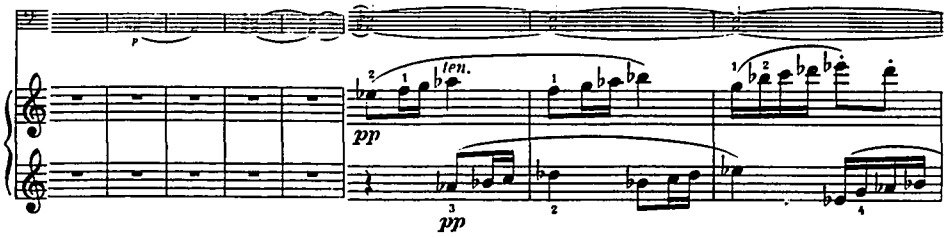
131 Szabo, 95.

Example 8: Opus 102, no. 1/II, mm. 74-85



Measures 87-121. The last section of the development is finally set in motion after one more round of the "catch-up" motive, now a flattened sixth away in A^{b} (see example 9). This time the P theme continues uninterrupted over the sustained fifths in the 'cello, and the motive is developed in overlapping contrapuntal imitations, sequences, and inversions which create passing lines throughout the development.

Example 9: Opus 102, no. 1/II, mm. 86-93



Recapitulation

Measures 122-147: Principal theme: Transition. With the first four measures in canonic imitation, the principal theme is stated as in the opening measures. The transition begins at measure 140 in the tonic key, but then modulates to F major. A similar incident occurred in the recapitulation of the first movement when the S theme returned first in F major and passed through D minor before landing securely on the tonic A minor.

Measures 148-174: Secondary theme. The distinction between the T and S areas is obscured even more covertly than in the exposition as the S theme enters in the unusual and unexpected key of F major, the subdominant. The tonality is temporarily subverted until measure 154 when the tonic is reestablished.

Measures 175-183. The closing material, originally derived from S, appears again, now in the tonic key.

Coda

Measures 184-212. The coda opens with a repeat of the whimsical "catch-up" game from the development, this time moving from A^b, to F, to D^b. The 'cello sustains the D^b fifth for a full fifteen measures while the fortepianist executes what Cooper refers to as a short cadenza based largely on material from the development section.[132] A subtle modulation to C major occurs in measure 212. The 'cello enters alone at measure 218, developing the triplet figure of the P theme, and rising through three octaves of C major

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[132] Cooper, 137.

arpeggios. The tension is heightened as scales appear in contrary motion, leading to unison repeats of the P theme and a passage of *ritardando* in preparation for the final statement.

The intensity and excitement of the coda are the result of Beethoven's highly effective use of dynamics. As each crescendo phrase leads to an abrupt climax, the fortepiano delays the ultimate climax and provides further development. The two instruments engage in imitation or accompany each other in triplets, scales, and trills, finally joining in a unison statement of the Principal theme in the last thirteen measures to bring the movement to an energetic end.

Opus 102, no. 2

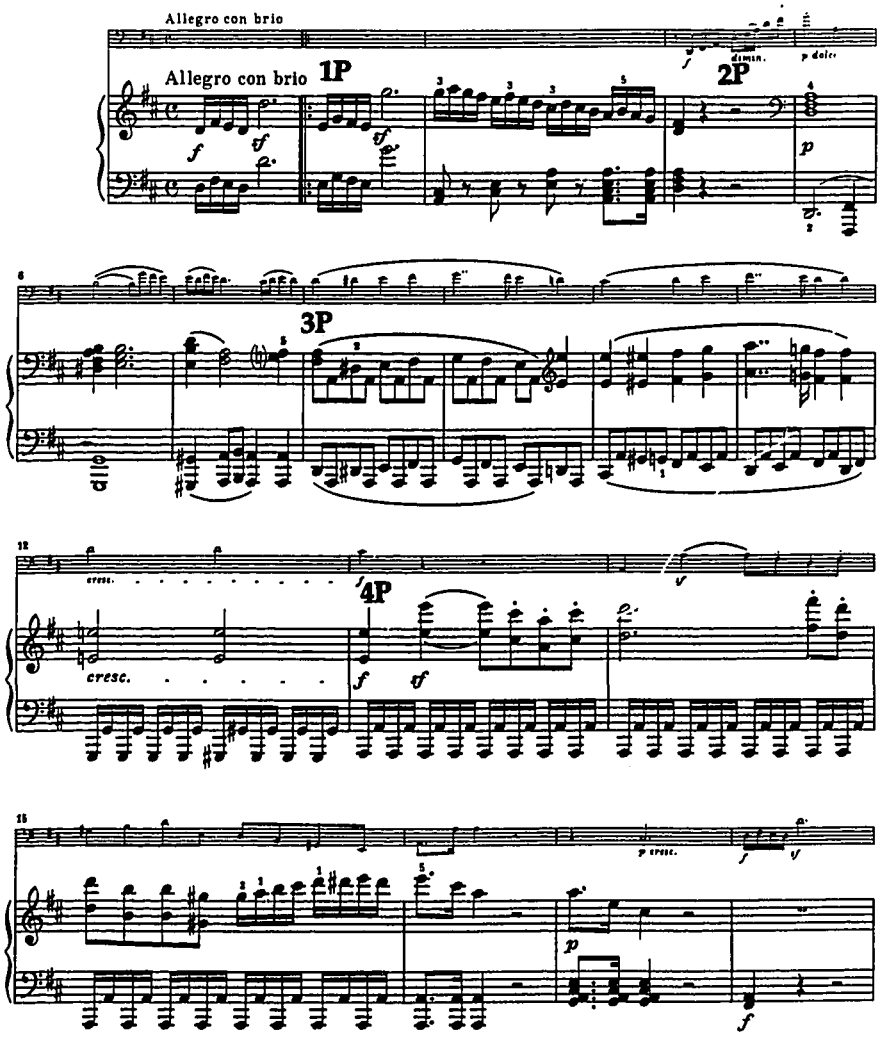
In Opus 102, no. 2, Beethoven employs the formal arrangement of two *Allegro* movements separated by a full-length *Adagio*. However, the more conventional last-movement forms of rondo or sonata-allegro are replaced by a fugue. Of the five sonatas for violoncello, only Opus 102, no. 2, contains a full-length slow movement. Beethoven's tendency to cloud the boundaries of sections through the intermingling and contorting of thematic material was seen to be extremely common in Opus 102, no. 1, and is perhaps also one of the most important features of the first movement of the sonata in D major.

First Movement
Form: Sonata-Allegro
Exposition: measures 1-53a
Development: measures 53b-88
Recapitulation: measures 89-125
Coda: measures 126-147

Allegro con brio.

Exposition: First Group (D major). The principal theme (P) consists of four interrelated thematic ideas, 1P, 2P, 3P, and 4P, which will be seen to recur throughout the movement. The relevance of these four short thematic segments becomes conspicuous as the movement progresses and the fragmentary motives return in varying patterns (see example 10).

Example 10: Opus 102, no. 2/I, First group 1P, 2P, 3P, 4P mm. 1-18



Measures 1-3: Part One of Principal Theme. The exposition begins with a rather a-melodic opening statement (1P) in the fortepiano, powerfully and immediately establishing the tonic of D major. This five-note figure is strikingly similar to a gesture in Schubert's Quartet in D minor (*Death and the Maiden*, D. 810), although Schubert uses it to intensify a climax, whereas Beethoven employs it as the starting-point of a movement.[133] The five-note figure in the fortepiano leaps to an octave and then to a tenth. The "direct hit" quality of the opening of Opus 102, no. 2 is reminiscent of earlier D major works, such as the fortepiano sonata, Opus 10, no. 3, and the fortepiano trio, Opus 70, no. 1 (another work dedicated to the Countess Erdödy.)[134]

Measures 4-7: Part Two of Principal Theme. The brusque opening gesture is gracefully countered by 2P, played by the 'cello, rising two octaves and a fifth, through a D major arpeggio, leading softly into 3-P.

Measures 8-12: Part Three of Principal Theme. 3P occurs softly first in the 'cello, is then doubled by the fortepiano, and increases in momentum before extending into 4-P.

Measures 13-16: Part Four of Principal Theme. 4P begins in the fortepiano and is imitated by the 'cello, over a dominant pedal tone. A cadence on the dominant occurs at measure 15.

Measures 17-25: Transition. The first group of subjects ends on an A major cadence, followed by another eight bars, based upon the 1P motive,

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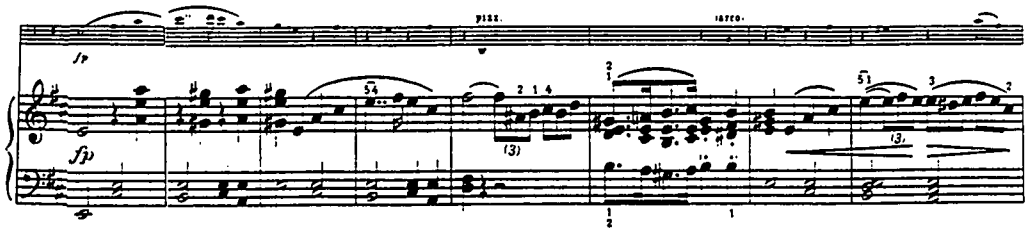
[133] Arnold-Fortune, 238.

[134] M. Cooper, 138.

given for the first time to the 'cello, on the tonic. The first transitional passage (1T) employs suggestions of the opening motive, through the use of contrapuntal imitation and stretto, while traversing through the submediant key of B minor at measures 21 to 24. The second transitional theme (2T) which is derived from 4P, enters in the 'cello at measure 22, overlapping with the fragment of 1P which continues in the fortepiano.

Measures 29-42: Second Theme (A major). After a cadence on the dominant, the secondary theme (S) appears (see example 11). This lyric theme is derived from motive 3P and is stated in the key of A major by the 'cello and extended through repetition in the fortepiano, then varied with triplets.

Example 11: Opus 102, no. 2/I, Lyric theme S, mm. 29-34



Measures 43-52. Closing

The closing material (K) begins at measure 43 and is essentially a synopsis of thematic materials of the exposition. A small eccentricity is presented in the closing section (mm. 47-48.) This passage is described by Cooper:

> Here Beethoven wrenches the movement away from the B minor to which it has already once modulated and is plainly modulating again, into the D major that ends the section. He accomplishes this by one of the harmonic side-slips that we shall meet increasingly in the works of this last period."[135]

The exposition ends with a 'cello restatement of 1P, on the dominant, but the 'cello dramatically changes the dominant to a dominant-seventh for the repeat of the exposition.

Development

Measures 53b-88. The short development that follows begins with an exact imitation of the opening measure on the dominant. As the 'cello sustains the stationary tone A, the accompaniment shifts from D major to D minor, continues to C major, and is then interrupted by another imitation of the opening measure. The chromatic kaleidoscopic effect created by the fortepiano is then merged with the entrance and development of 2T, with the 'cello recalling the brief harp-like gesture of measures 25-28. The lyrical S theme does not appear in the development, (as is common in Beethoven's development sections,) but is destined to return at a later point.

As the recapitulation approaches, the harp-like passage is countered by a series of arpeggiated major, minor, and diminished-seventh chords in the fortepiano, moving from C major to G major. An interesting tonal diversion occurs which will prove to affect the Recapitulation: at measure 61 the key signature changes from D major to C major, and at measure 84 the key signature changes again, now to G major. At this point, Beethoven slyly

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[135] M. Cooper, 139.

sidesteps our expectations by introducing a "false recapitulation" (mm. 84-87) consisting of a six-measure canonic statement of the opening phrase 1P and a rush of scales in contrary motion, not in the anticipated tonic of D major, but in the subdominant G major. The effect of the entrance in the "wrong key" is not intensely startling since the tonality of G major had been cleverly prepared in the development, thereby undermining the traditional anticipation of D major.

Recapitulation

Measures 89-98: First Group. The true recapitulation in the tonic key appears at measure 89 and is cleverly integrated with the previous false recapitulation, adding intensity to the deception. The recapitulation reviews the first-subject themes, 1P, 2P and 4P, omitting 3P, since the S theme, which is derived from 3P, is becomes important after the transition.

Measures 98-102. The transition is based on two transitional themes from the exposition and is reduced to four measures, functioning here as a preface to the entrance of the secondary theme.

Measures 103-115: Secondary Theme. The lyrical S theme appears, with the dominant key temporarily functioning as the tonic, creating a threat to the stability of the tonic key.

Measures 116-127: Closing. The closing material (K) is repeated from the exposition, now in the tonic key, winding down to a concluding, three-measure reiteration of the opening theme, and a pause on the dominant, before the coda begins.

Coda

Measures 128-146. The pensive, lyrical S theme of the exposition is briefly introduced in the first four bars of the coda, but soon dissolves into a sequence of chords which destroy the D major tonality, moving to the IV side of the key. This type of shift in tonality is a typical characteristic of Beethoven's codas and creates a mysterious mood by passing through G major to $F^{\#}$ minor, D major, C major, F minor and, by way of the Neapolitan $E^{\flat}$ major, back to the D major scales in contrary motion (derived from the false recapitulation), which bring the movement to an end.

Second Movement
Form: Ternary
Section A: measures 1-24
Section B: measures 25-50
Section A: measures 51-66
Coda: measures 67-85

Adagio con molto sentimento d'affeto. D minor

The second movement, as mentioned above, is the heart of the sonata, and its key of D minor recalls one of the profoundest of Beethoven's early slow movements, the *Largo e mesto* of the Fortepiano Sonata in, Opus 10, no. 3, although that *largo* cannot compare with the element of extreme contrast alive in this *Adagio* as it shifts from dark brooding into a delicate, lyrical dialogue in D major, and back to the original somber D minor tonality. Contrast is also evident in the juxtaposition from chorale textures to flowing operatic phrases in the A section, as well as the contrasts in character between the 'cello and fortepiano in the impassioned dialogue of the B section. Even the coda offers an unexpected diversion as what seems to be new material

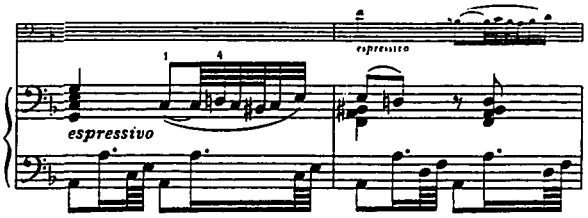
reveals itself to actually be a reviewing of cadential phrases from the D major middle section, clothed in the chorale-like atmosphere of the opening chorale.

Section A

Measures 1-8: D minor The movement begins with a simple eight-bar chorale-like theme (theme I) in the 'cello, accompanied by low harmonies. The theme is marked *mezza voce* (half voice) and moves within a narrow span, barely extending beyond the compass of a fifth. By the eighth bar, the theme has modulated from D minor to the minor dominant, A minor.

Measures 9-16. The next eight bars, marked *espressivo*, open with a new phrase (theme II) "as extrovert, even operatic in character as the opening of the movement was inward-looking."[136] Suspensions, overlapping with the beginning of each imitation, heighten the tension and subside momentarily when the voices join together in octaves and *diminuendo*. The tonality is carried back from A minor to D minor in these eight bars (see example 12).

Example 12: Opus 102, no. 2/II, Theme II mm. 9-10



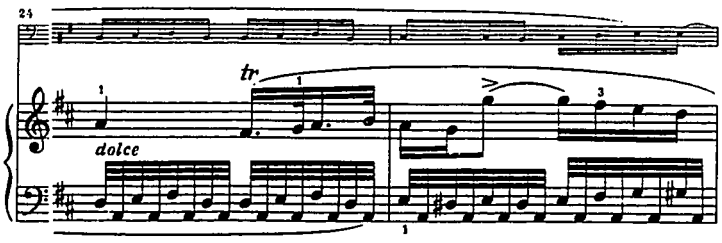
136 M. Cooper, 141.

Measures 17-24. The eight bars of theme II are repeated, with the 'cello and fortepiano reversing roles. A strong cadence at measures 23-24 is accentuated by the first true crescendo of the movement and the tonality lands firmly on D major as section B begins.

Section B: D major

Measures 25-28. A new lyrical theme (theme III) appears in the fortepiano above a dominant pedal tone, and is accompanied by a countersubject in the 'cello. Marked *dolce*, the theme always appears with the same countersubject. The use of suspensions, appoggiaturas, and accented passing tones contributes to the plaintive lyricism and conversational quality of theme C (see example 13).

Example 13: Opus 102, no. 2/II, Theme II mm. 25-26

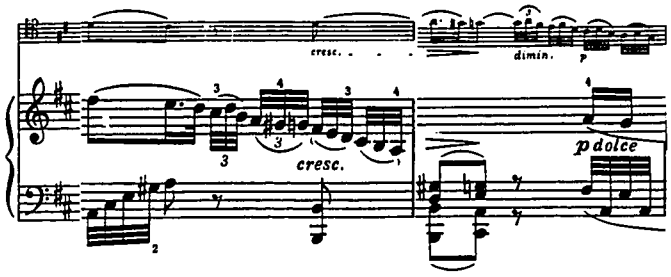


Measures 26-33. A variation of the first two measures of theme C is introduced by the 'cello. This is followed by an imitative exchange between the two instruments.

Measures 34-39. Theme II appears in double counterpoint between the instruments over a dominant pedal. As the dialogue between the two voices continues to flow gracefully, it is momentarily interrupted by a series

of thirty-second note triplets in the fortepiano with a crescendo reaching its peak in measure 39 (see example 14). The drama is intensified by an appoggiatura tone in the 'cello. The 'cello then offers an impassioned repetition of measure 38, leading back into theme III.

Example 14: Opus 102, no. 2/II, mm. 38-39



Measures 40-50. Following the outburst in measure 38-39, the lyrical dialogue between the two voices resumes, with the theme in the 'cello accompanied by double counterpoint in the fortepiano. The dialogue ends in measures 49-50 (see example 15) with an extremely lyrical melodic cadence, which is described by Matthews as representing "mutual consolation."[137] With its emanations of reciprocal devotion and tenderness, this lovely and simple passage seems to finalize the animated conversation which had preceded it, and the aura of gentleness expires as the original somber chorale-like theme of section A returns.

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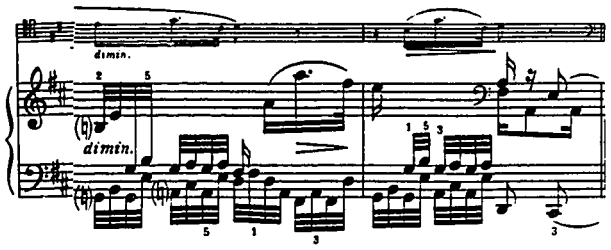
137 Matthews, 122.

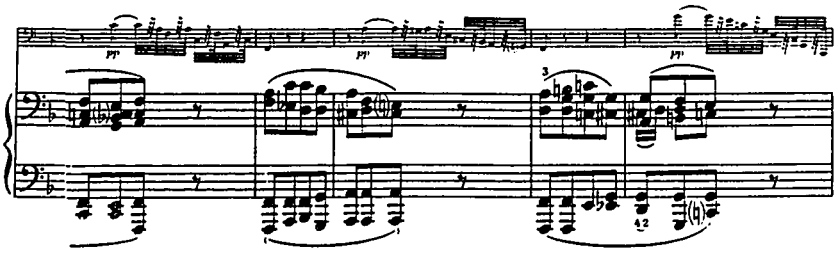
Example 15: Opus 102, no. 2/II, mm. 49-50



Section A^1

Measures 51-58. As Section A returns, the fortepiano provides a series of eighth-note blocked chords beneath a new rhythmic gesture introduced by the 'cello. The new material consists of broken chord tones in dotted rhythms, overlapping and connecting the phrases of the theme. The 'cello figure pursues a falling motion (see example 16), dropping through the tonality of F major, then A major, into C major, and finally reversing direction and climbing into the tonality of A minor. The faltering, tentative quality produced by the dotted rhythm creates a mood of equivocal wariness, and the apprehension seems to be unhappily verified by the arrival of the A minor tonality.

Example 16: Opus 102, no. 2/II, mm. 52-56



Measures 59-66. Upon arriving at A minor, the 'cello carries the operatic A-section second theme (theme II), while the fortepiano provides a counterpoint derived from the 'cello's descending thirty-second note motive. The accompaniment intensifies the motion to the climax at measure 66, where a sudden halt occurs, and the two voices come together in unison in $B^{\flat}$ major, as the coda begins.

Coda

Measures 67-85. The coda serves as a transitional section preparing for the entrance of the *Allegro fugato* third movement, and utilizes elements of both sections A and B in quiet meditation. The four-note scale in the 'cello at measure 70 bears a striking resemblance to the subject of the third-movement fugue and may possibly forecast what is to follow. The twelve-measure passage in $B^{\flat}$ major seems to be introducing new material, and the tonality is weakened occasionally by the appearance of $E^{\flat}$ minor, and threatened by the appearance of a B-natural in measure 71. The new material turns out to be cadential phrases from the D major middle section, positioned now amid a tonal climate of doubt and perplexity. At the twelfth measure, as the dominant of D major is reached, resolution is evaded and the dominant functions as a German sixth chord as Beethoven characteristically descends a semitone to the tonality of $C^{\#}$ minor. The subdominant of $C^{\#}$ minor unobtrusively introduces the $F^{\#}$ tone of D major, the key of the third movement. The arrival at the tonic is confirmed through cadences on the dominant of D major, as the 'cello tentatively offers a simple rising scale, of an interrogatory nature, and after a pause, the fortepiano repeats the question, setting the fugue in motion.

Third Movement
Form: Four Voice Fugue

Beethoven invested a tremendous amount of effort in sketching the subject of this fugue before he was completely satisfied. The many pages of sketches attest to his exertion before the more concise, less chromatic definitive version emerged.[138] This fugue is the earliest of the many strictly contrapuntal movements which would follow in Beethoven's third period, forming an "indispensable counter-balance to the lyrical, song-like movements with which they are often paired--as in Opp. 101 and 106."[139] The employment of the fugal medium, following an inward-turning, lyrical movement, may represent the manner in which intellectual vigor is one means of "tempering or dispersing overwhelming emotion."[140]

Allegro fugato. D major

Measures 5-28: Exposition 1. A fragment of the fugue subject, marked *leggiermente* (light and nimble) by Beethoven, is previewed by the 'cello and repeated by the fortepiano, suggesting that the 'cello is leading the fortepiano into action. The subject (see example 17), marked by Beethoven to be played *sempre fortepiano,* enters on the dominant in the 'cello at measure 4. The fortepiano's tonal answer begins in measure 10. Except for the major third at the start of the answer, the subject and answer are identical melodically. In measure 11 the cello introduces the countersubject which is derived from the subject; at measure 17 the bass of the fortepiano restates the countersubject.

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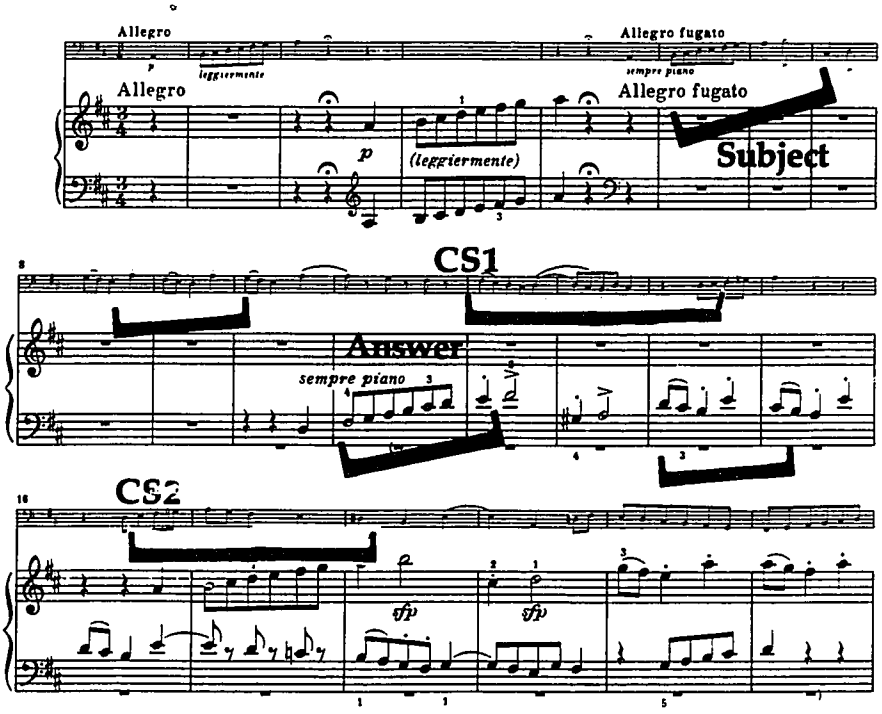
[138] Arnold-Fortune, 239.

[139] M. Cooper, 143.

[140] Matthews, 122.

At measure 22 the bass of the fortepiano states the answer on the tonic in octaves.

Example 17: Opus 102, no. 2/III, mm. 1-21. Subject, Answer, Countersubject



Measures 29-34: Episode 1. The first episode consists of six measures of contrapuntal material derived from fragments of the subject. Fragments used include an imitation in measure 29 of the descending third gesture from measure 8, as well as a retrograde version of the subject's ascending step-wise scale in measures 30-31.

Measures 34-40: Exposition 2. The subject appears on the dominant in the 'cello, accompanied by the countersubject in the fortepiano.

Measures 40-46: Episode 2. The second episode extends the material of the subject and features imitations of the melodic interval of a third derived from measures 8-9 while imitations of measure 1 occur in the bass voice.

Measures 46-52: Exposition 3. The subject appears in the right hand of the fortepiano on A and the texture thickens with the addition of the fourth voice in measure 50. The countersubject is stated by the 'cello and the bass of the fortepiano.

Measures 53-56: Episode 3. A four-measure episode continues the imitation of measures 8 and 1, and material from measures 10-16 appears in double counterpoint. The subject of measure 5 appears in inversion, and measures 12-13 of the subject continue in sequential imitation.

Measures 56-62: Exposition 4. A crescendo leads to the *forte* entry of the subject in the bass of the fortepiano, an a variant of the countersubject in the treble.

Measures 63-72: Episode 4. The subject is inverted and is imitated by a descending scale in the right hand of the fortepiano. The tonality moves through the key of E minor to B minor at measure 70. The introduction of sforzati on alternating beats adds to the intensity of the episode.

Measures 73-78: Exposition 5. The fortepiano introduces the subject in the key B minor, with the countersubject in the 'cello.

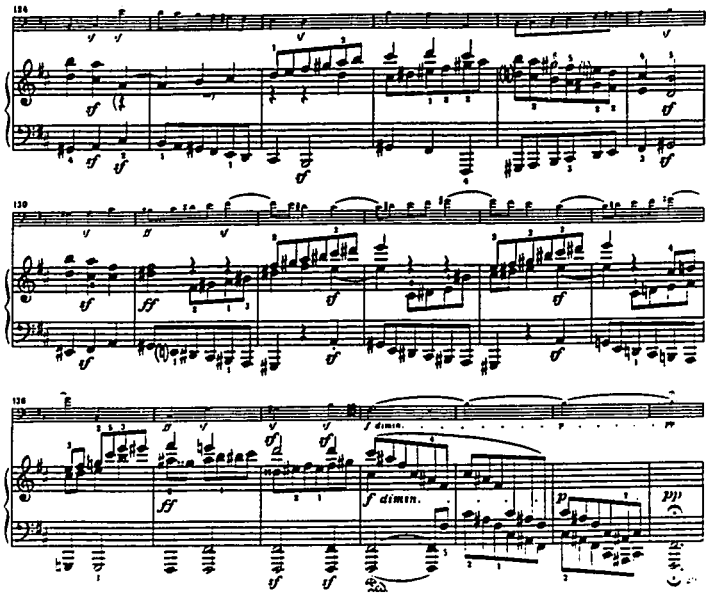
Measures 78-101: Episode 5. An incomplete statement of the subject enters in the fortepiano at measure 78 and overlaps in stretto with the 'cello entrance of the incomplete subject at measure 81. The fourth voice appears at measure 84 in sequence and proceeds in an augmentation of measure 1 at measures 94-97. Measures 12-13 of the subject are developed throughout, joining a modification of measure 1 in canonic imitation.

Measures 102-113: Exposition 6. The subject appears inverted in the 'cello and the bass, in the key of E minor, against the countersubject in fortepiano, also inverted. The subject appears next in measure 107 in the right hand of the fortepiano and is treated with rhythmic augmentation and inversion in measures 110-111.

Measures 113-142: Episode 6. Episode 6 is comprised of twenty-nine measures and is the longest episode of the movement. The contrapuntal and harmonic characters are enhanced by the addition of the fourth voice in sequential imitation, and the motion is punctuated by quarter- and half-note rhythms. After a cascade of scales landing on $F^{\#}$ major, a fermata accentuates the climax and cadence on $F^{\#}$ at measure 142. It was these twenty modulatory

measures (see example 18) preceding the fermata which evoked the vehement criticism of this fugue. Schindler noted that "Less colorful modulations would not have so affected the clearness, since the theme is always present, though sometimes in retrograde motion."[141]

Example 18: Opus 102, no. 2/III, mm. 124-142



Coda

Measures 143-174. The coda begins with the introduction of a new subject which Cooper believes to be based on a contrapuntal subject of the G minor fugue in Book I of Bach's "48"[142] (see examples 19 and 20).

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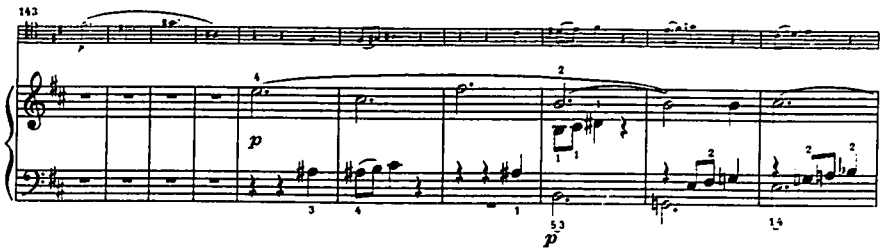
141 Schindler, 213.

142 M. Cooper, 143.

Example 19: J. S. Bach, Fugue no. 17

Example 20: Opus 102, no. 2/III, mm. 143-154



This second subject consists of a simple four-note passage that Szabo believes to be a development of the intervals from measures 6-9 and the previous dotted half-note rhythm.[143] At measure 150 the fortepiano inverts a three-measure fragment of the first subject derived from measures 8-10. The original subject enters in the left hand of the fortepiano at measure 155, and is stated again by the 'cello in measure 159, as the right hand of the fortepiano counters with the second subject. The original subject being stated simultaneously with the new subject makes this a double fugue. It may be all of this action so late in the fugue which caused such critical uproar.

The two subjects and imitations begin to overlap in stretto as the tonic key of D major is reestablished. It is important to note that only three statements of the original subject are found in the coda, and no countersubject. Also important is the fact that the subject ceases to be

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[143] Szabo, 116-117.

introduced after measure 174, and what follows is coda-like extensions and imitations of the subject material.

Measures 174-244. Fragments of the original subject are extended and imitated from measures 174 to 185 and then disintegrate in a brilliant sixty-measure passage (measures 185-245) composed of long trilled pedal tones and stretto, involving much use of scales in contrary motion or in sixths. The long trills are an important characteristic of Beethoven's late period style. The 'cello adds a trill on the $F^{\#}$ tone at measure 199 to begin the crescendo, which is intensified as material from measure 6 of the original subject rises through four octaves in the fortepiano.

The trilled pedal tones cease abruptly in measure 226 as material from measures 5-10 enters in *fortissimo*, inverted and in stretto. The four voices "catch up," octaves apart, and rise to the climax through an extended cadence, bringing the fugue to an end.

CHAPTER SIX

Conclusion

Perhaps the best way of concluding this study of Beethoven's five sonatas for fortepiano and 'cello may be to pose the question "Why are Beethoven's 'cello sonatas important?" The answer to this question is complex, involving a number of elements.

Although first appearing in the sixteenth century, the 'cello evolved through several constructional mutations before the modern standard size and design was fixed by Stradivari around 1710.[1] This date places the origin of the modern instrument at a mere sixty years prior to the birth of Beethoven. During the decades prior to Beethoven's birth the 'cello began to outgrow its Baroque role of occupying the very subordinate position as a *continuo* instrument, and during the eighteenth century a number of chamber works appeared involving extremely demanding 'cello parts. While the *obbligato* style of accompaniment practiced by his predecessors was a significant influence on him, Beethoven's 'cello sonatas are truly "original" in that he had no models to follow. Even Beethoven's central artistic models, Haydn and Mozart, never attempted to adapt their accompanied sonata styles to this instrumental combination. The two sonatas, Opus 5, are the first classical 'cello sonatas with a written-out fortepiano part. For the first time in the history of the genre, the fortepianist assumed an essential, virtuoso role, thereby establishing the combination of 'cello and fortepiano as a true duo.

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[1] Stanley Sadie, ed., *The Norton/Grove Concise Encyclopedia of Music* (New York: W. W. Norton and Co., 1988), 808.

Along with his contribution to the genre of the fortepiano and 'cello sonata, Beethoven also influenced the evolution of 'cello technique. The first 'cello sonatas, Opus 5, exhibit many elements of technical procedures developed by Jean-Louis Duport and included in his treatise on playing the 'cello, *Essai sur le doigté du Violoncello et sur la conduite de l'archet,* published in Paris in 1806, but begun long before. The school of Bernhard Romberg (1761-1841) had dominated 'cello playing until Beethoven's contact with Duport in 1796, after which, in Szabo's words, "Beethoven's compositions challenged and transformed the instrument's technique in a manner considered foreign to Romberg's style and unplayable in parts."[2]

The importance of Beethoven's 'cello sonatas also lies in the fact that these works offer a microcosmic view of Beethoven's three stylistic periods. For example, one of the prominent features of Beethoven's early period is his frequent evasion of strict tonic-dominant relations within a single movement. The tonic-dominant evasion occurs in the F major second movement rondo of Opus 5, no. 1, where the subordinate theme enters in the key of G major, and the entrance of the dominant is delayed until measure 35. A tendency toward tonal instability permeates the entire rondo. In Opus 5, no. 2, Beethoven again demonstrates his deviation from tonal expectations by employing an off-tonic opening in the rondo.

In the second theme area of the first movement of Opus 5, no. 1, the thematic material enters in the unexpected tonal area of the dominant minor and then proceeds through remarkably nine shifts of mode. While

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[2] Edward J. Szabo, "The Violoncello-Piano Sonatas of Ludwig van Beethoven" (Ph.D. diss., Columbia University, 1966), 21.

employing the dominant minor as a tonal center for the second theme was a characteristic inherited by Beethoven from the early classic tradition, the erratic shifting of modes is purely innovative, introducing what Bathia Churgin refers to as "the dark side of expression."[3]

Another characteristic of the early period style is the tendency of the works to be written in a very broad, weighty and discursive scale. These attributes readily apply to the first movement of Opus 5, no. 1, with its lengthy coda which begins with an extended cadenza for both instruments. The coda creates a four-part formal scheme which Lockwood describes as "two essentially expository sections (the so-called exposition and recapitulation) balanced by one that is developmental and one that extends and fulfills the closing function."[4] For this reason the Sonata in F major has been described by Kerman as "almost a miniature concerto."[5]

William Kinderman believes that the importance of the Sonata in G minor (Opus 5, no. 2) to Beethoven's artistic development has been underestimated. Kinderman states:

> In its sombre rhetoric and dramatic dialogue the slow introduction of Opus 5, no. 2 is prophetic. It points toward the harrowing climax of the development in the slow movement of the Piano Sonata in E^{b} Opus 7 and to 'La Malinconia' in the last of the Opus 18 quartets. Its most familiar successor, however, is another slow introduction, the *Grave*

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[3] Bathia Churgin, "Harmonic and Tonal Instability in the Second Key Area of Classic Sonata Form," in *Festschrift Series No. 10, Essays in Honor of Leonard G. Ratner*, ed. by Wye J. Allanbrook, Janet M. Levy, and William P. Mahrt, (Stuyvesant, NY: Pendragon Press, 1992), 37.

[4] Lewis Lockwood, "Beethoven's Early Works for Violoncello and Pianoforte: Innovation in Context," *The Beethoven Newsletter*, Vol. 1 No. 2, (1986), 19.

[5] Joseph Kerman, *The Beethoven Quartets* (New York: W. W. Norton & Co., 1979), 6.

> of the *Sonata Pathétique* in C minor Opus 13, largely composed in 1798 and published the following year.[6]

Kinderman's reference to *La Malinconia* parallels Lewis Lockwood's suggestion that the early 'cello sonatas may actually represent somewhat of a prototype of the more complex genre of quartet writing.[7]

While most of the works emerging from Beethoven's middle period exhibit heroic images of triumph over adversity, by the time Opus 69 was composed Beethoven's attentions had been directed away from the symphonic medium and towards chamber music. The works created during 1808 and 1809 contain a new lyrical quality, along with a sense of inner repose, no longer responding to the grand challenges and turbulent responses of the "Heroic" decade. These works do, however, contain other unmistakable characteristics of the Heroic period, such as long codas, organicism or thematic unity throughout the work, and pervasive lyricism.

The first movement of Opus 69 presents a clear image of a two-way conversation, at times passive and agreeable, at other times hostile and argumentative. The sense of triumph and arrival in the recapitulation typifies the middle period tendency of positioning the recapitulation as a statement of victory.

During his late period, Beethoven's works began to display an even deeper sense of lyricism, an intense intimacy and delicacy, an introspective quality, and a retrospective utilization of fugal writing. These characteristics

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[6] William Kinderman, *Beethoven* (Oxford: Oxford University Press, 1995), 45.

[7] Lewis Lockwood, "Beethoven's Early Works for Violoncello and Pianoforte: Innovation in Context," *The Beethoven Newsletter*, Vol. 1 No. 2, (1986), 19.

are highly visible in Opus 102, particularly in the last sonata, with its highly lyrical, introspective, and intimate *Adagio* and its fugal finale (the first of nine such late period fugues.) A comment by Kerman regarding the Cavatina of the late Quartet in B♭, Opus 130, could easily be applied to the conversational nature of the *Adagio* of Opus 102, no. 2: "instrumental music seems painfully to strive for articulate communication."[8] Even as early as Opus 5 the declamatory style was transformed by Beethoven's unique style of legato playing and inflections, as well as the breadth of articulation in phrases. A new depth of intimacy in the "speaking style," however, was achieved in the late works, and Opus 102, no. 2, exists as a prominent example.

A study of the 'cello sonatas also provides a glimpse into Beethoven's life, both professionally and personally. Since the five sonatas span the three stylistic periods of Beethoven's life, a study of the circumstances surrounding the composition of each opus provides a fairly substantial chronicle of Beethoven's entire life and career. For instance, in his early years in Vienna, the composer's fame as a virtuoso performer spread rapidly and he was soon known beyond the confines of the aristocratic salons and in was demand at public concerts. Through his aristocratic connections, he was presented with the opportunity of traveling to Berlin where he performed for the Prussian king Friedrich Wilhelm II with great success. A study of letters and documents from that period reveals a confident and enthusiastic Beethoven, eagerly embracing the challenges of the musical world of 1796. A letter to his brother Johann, written en route to Berlin illustrates Beethoven's state of mind: "My art is winning for me friends and renown, and what more do I

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[8] Kerman, 304.

want. And this time I shall make a good deal of money."[9] A study of the history of Opus 5 also reveals Beethoven's professional connections with the performing artists of the day. His trip to Berlin allowed him to make the acquaintance of the Duport brothers and perform the first two 'cello sonatas with Jean-Pierre Duport in the royal court. While in Berlin Beethoven also attended at least two meetings of the Singakademie, which then numbered about ninety voices. At one of these performances Beethoven astounded the participants by improvising on the theme of the fugue of a chorale composed by Carl Friedrich Christian Fasch. When the audience crowded around him weeping, the fiery Beethoven admonished "that is not what we artists wish--we want applause!"[10] Active involvements with other performing artists are also revealed in the study of Opus 5; at the end of 1796 the sonatas were performed by Beethoven and Bernhard Romberg, an accomplished 'cellist who enjoyed a certain amount of notoriety among the Viennese aristocracy. Also, the noted contrabassist, Domenico Dragonetti, was said to have astonished Beethoven by playing the Sonata in G minor, Opus 5, no. 2, on the bass, thereby revealing that instrument's unsuspected potential. This incident led Thayer to conclude that "The unlucky contrabassists of orchestras had frequent occasion during the next few years to know that this new revelation of the powers and possibilities of their instrument to Beethoven was not forgotten."[11]

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[9] Emily Anderson, trans. and ed., *The Letters of Beethoven,* 3 vol. (London: MacMillan, 1961), 1: 22 (Letter no. 16), Hereafter: Anderson, Letter no. 0.

[10] Elliot Forbes, ed., *Thayer's Life of Beethoven* (Princeton, New Jersey: Princeton University Press, 1973), 187.

[11] Thayer-Forbes, 208.

A study of the circumstances surrounding the composition of Opus 69 also reveals generous amounts of personal information about the composer. The third 'cello sonata is a product of Beethoven's middle period, composed barely five years after the summer of the famous Heiligenstadt Letter, the document in which he painfully acknowledged the grave inevitability of his deafness and rejected thoughts of suicide for the sake of his dedication to art. The result of the devastating summer of 1802 was what Kerman refers to as "the amazing artistic after-effects that such things seem to have produced in Beethoven."[12] Kerman's "after-effects" are, of course, the extraordinary collection of musical masterpieces that emerged during what has been nicknamed the "Heroic" decade. The heroic images of triumph over adversity found in compositions of this period clearly parallel certain events in Beethoven's life at the time. During this period the composer experienced severe financial difficulties when the annuity bestowed on him by Lichnowsky in 1800 was terminated. By the spring of 1807 Beethoven petitioned the Royal Imperial Court Theater for a fixed annual income, and threatened to leave Vienna if his request was not granted. An offer for the position of Kapellmeister of Kassel provided the ammunition needed to force the issue, and in February 1809 a new agreement was signed by Lobkowitz, Kinsky, and Archduke Rudolph guaranteeing a yearly annuity for life. No sooner had Beethoven triumphed over this financial adversity than did the hardships and stresses of war arrive, as Napoleon's forces invaded Vienna in May 1809. Again Beethoven's financial stability was threatened, now by an increase in interest rates and the confiscation of house rents by the French

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[12] Kerman, 91.

forces. Beethoven's discomfort during the French occupation is documented in a number of letters to his publishers and friends.

Another aspect of Beethoven's condition during the Heroic decade is revealed in a study of the publication of Opus 69. His financial insecurities of the period had thrust him into the time-consuming business of soliciting publication offers, negotiating fees and contracts, shipping scores to publishers, and collecting on accounts. A profile of Beethoven's capacity as a businessman emerges in an interesting series of letters to the publishers Breitkopf and Härtel involving, among other works, Opus 69. Also revealed in these letters is Beethoven's insistence on accurate editions, as well as his methods of proofreading.

On the autograph of Opus 69 a poignant and enigmatic notation (in Beethoven's hand) appears: *Inter lacrimas et luctum* (In the midst of tears and sorrow). It seems logical to relate this mysterious message to the final demise of Beethoven's intense relationship with the Countess Josephine Deym (née von Brunsvik) during the prior year, 1807. In his last three letters to Josephine, dated autumn 1807, the sense of sorrow is palpable. It is likely that the emotional wounds suffered in 1807 would carry over into 1808, and may somewhat explain the "tears and sorrow" he experienced while composing Opus 69.

The study of the events surrounding the composition of Opus 102 is perhaps the most moving and heartrending of all of Beethoven's biography. Composed in 1815, the last two 'cello sonatas were the first works to emerge after a painful three-year period of deep despondency and artistic fallowness. Beethoven's mental state was brought on in part by the well-known

Immortal Beloved affair in the summer of 1812, when one of the most serious romantic involvements of his entire life ended in dismal failure, and there followed an extended period of emotional turmoil and depression. The numerous anecdotes, letters, and diary entries from 1812-1814 attest to the wretched mental and physical condition of the composer at this time. In 1814 Beethoven finally emerged from his silence and resumed composing. His output for the following months, however, while relatively prolific, proved to be rather trivial and insignificant public works which have virtually disappeared from the repertory.[13]

The publishing of Opus 102 also offers a depiction of Beethoven's personal life at the time. In order to avoid forfeiting the profit from the 'cello sonatas to repay an old debt to the Viennese publisher Steiner, Beethoven attempted to have the sonatas published in England. When that attempt failed, the same sonatas were submitted to the Bonn publisher Simrock. Certain letters to Steiner during this time attest to the tension between the composer and the publisher. After succeeding in publishing the sonatas for profit in Bonn, relations between Beethoven and Steiner again became amicable. Beethoven's slightly dubious dealings with Steiner illustrate the composer's mania for the making and saving of money for his nephew Karl. After the death of Karl's father, Beethoven became obsessed with the idea that he was "wholly financially responsible" for his nephew, which was, in fact, not entirely true.

The greatest importance of the 'cello sonatas lies in the artistic quality of the works themselves. The vast compass of Beethoven's creative

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[13] Maynard Solomon, *Beethoven* (New York: Schirmer Books, 1977), 222-223.

imagination inhabits the 'cello sonatas, from the richness and magnitude of his symphonic ideal to the intense intimacy of the solo works. These five masterpieces embody the sum of all that is Beethoven: his humor, his tenderness, his intellect and, above all, his unbounded passion.

The singularity of these works reflects the kaleidoscopic uniqueness of their creator, a mutable personality whose creations seem ceaselessly to evolve and transform, paralleling the "human experience" of the listener, always changing and, despite their static commitment to paper, continually offering fresh glimpses into the core of the human condition. Each new vista appears as unique and individual as the millions of souls that have been touched, and the millions more to follow.

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